NATIONAL REGISTRATION DATABASE (NRD™)

FILER MANUAL

Instructions, Procedures and Guidelines for Using the National Registration Database

Version 1.2

March 2003
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CHAPTER 1 - ABOUT THIS MANUAL ..........................................................7
A. About this manual ........................................................................................................ 7
B. Organization of this manual .......................................................................................... 7
C. How to get copies of this manual .................................................................................. 10
D. The registration instruments ....................................................................................... 10
E. Registration instrument form references ...................................................................... 10

CHAPTER 2 - OVERVIEW OF THE NATIONAL REGISTRATION DATABASE ........13
A. The National Registration Database .......................................................................... 13
B. Hardware and software required to use NRD .............................................................. 13
C. Registration functions you can perform using NRD ...................................................... 14
1. Firm functions ............................................................................................................. 14
2. Individual functions .................................................................................................. 14
3. Administrative Functions ......................................................................................... 15
D. Access to NRD ............................................................................................................ 15
E. Contents of NRD ......................................................................................................... 15
1. The permanent record .......................................................................................... 15
2. Firm information – Permanent Record ........................................................................ 16
3. Individual information – Permanent Record ............................................................. 16
F. Requirements to submit information to regulators through NRD and in paper format .... 17
1. Registration information that must be submitted to regulators using NRD ................. 17
2. Registration information that must be filed or delivered to regulators in paper format ... 17
G. Supporting documents .................................................................................................. 18
1. Registration information that must be filed with regulators in paper format in support of an NRD submission ................................................................. 18
2. Registration information for which no supporting documents must be filed with regulators in paper format ................................................................. 19
3. Proof of Registration in Other Jurisdictions ................................................................ 20
4. Freedom of Information (FOI) and Consent Form ...................................................... 20
5. Non-Duplication of Filing Requirements .................................................................. 20
H. Lead and non-lead jurisdictions .................................................................................... 20
1. How is the lead jurisdiction determined? ................................................................. 20
2. What if the head office is located in Québec or outside of Canada? ......................... 21
I. Notices of changes to registration information ............................................................ 21
J. Temporary hardship exemption ................................................................................... 22
K. NRD numbers ............................................................................................................ 22
1. NRD numbers for firms and individuals .................................................................... 22
2. NRD numbers for business locations ........................................................................ 24
L. NRD submission numbers .......................................................................................... 24
M. Communication with regulators outside NRD ............................................................ 24

CHAPTER 3 - ENROLLING YOUR FIRM TO USE NRD ........................................25
A. Introduction .................................................................................................................. 25
B. When to enrol your firm to use NRD ......................................................................... 25
C. How to enrol to use NRD ........................................................................................... 25
1. NRD enrolment forms .................................................................................................................................. 26
2. Enrolment Fees......................................................................................................................................... 27
3. Confirmation of Enrolment to use NRD .................................................................................................... 27

CHAPTER 4  - AUTHORIZED FIRM REPRESENTATIVES ............................................................................. 30
A. Authorized firm representatives .............................................................................................................. 30
   1. Role of authorized firm representatives ................................................................................................. 30
   2. Requirements to appoint the chief AFR, AFR administrators, and AFRs ............................................. 32
   3. No formal qualifications required ........................................................................................................... 32
   4. No limit on the number of firms for which you can be an AFR ............................................................. 32
B. Setting up chief AFRs, AFR administrators and AFRs .......................................................................... 32
C. Appointing a chief AFR ........................................................................................................................... 33
D. Revoking an existing chief AFR and Appointing a new chief AFR .......................................................... 34

CHAPTER 5  - FEES COLLECTED THROUGH NRD ................................................................................. 35
A. Payment of submission fees, annual registration fees and annual NRD user fees ................................. 35
   1. Submission Fees ..................................................................................................................................... 35
   2. Annual Registration Fees ....................................................................................................................... 35
   3. Annual NRD User Fee ............................................................................................................................ 36
B. EFT and the NRD account ....................................................................................................................... 36
   1. Payment status definitions ....................................................................................................................... 37
   2. Submission fee status definitions .......................................................................................................... 37
   3. Process for rejected/returned payments ............................................................................................... 37
C. Calculation of submission fees by the system ........................................................................................ 37
D. Reconciliation reports ............................................................................................................................... 38
   1. Reconciliation Report by Submission .................................................................................................... 38
   2. Reconciliation Report by EFT ............................................................................................................... 38
E. Requests for refunds ................................................................................................................................... 38
F. Late filing fees ............................................................................................................................................ 38

CHAPTER 6  - NAVIGATING THE NRD WEBSITE .................................................................................... 40
A. The NRD website ....................................................................................................................................... 40
   1. NRD splash page ................................................................................................................................. 40
   2. Logging in ............................................................................................................................................. 40
B. Navigating the NRD website .................................................................................................................... 42
   1. Global navigator ................................................................................................................................. 43
   2. Main navigator ..................................................................................................................................... 45
   3. Local navigator .................................................................................................................................... 46
   4. Error/Informational/Warning messages ............................................................................................... 47
   5. Using your Browser’s navigation buttons ........................................................................................... 47

CHAPTER 7  - MAKING NRD SUBMISSIONS ......................................................................................... 49
A. NRD submissions and NRD submission types ......................................................................................... 49
   1. Firm submissions ............................................................................................................................... 49
   2. Individual submissions ......................................................................................................................... 50
   3. Single jurisdiction and multi-jurisdiction submission types ............................................................... 54
B. Who may make a submission? ................................................................................................................ 55
   1. AFRs .................................................................................................................................................... 55
   2. Individuals ......................................................................................................................................... 55
C. How to prepare a submission ................................................................................................................ 55
1. Data format tips ..................................................................................................................... 56
2. Firm submissions .................................................................................................................... 56
3. Individual submissions .......................................................................................................... 57
4. Supporting Documents ......................................................................................................... 58
5. How to re-assign a submission ............................................................................................. 58
6. Fields, commands and other objects used to enter information for submissions .............. 59
7. Work in progress (WIP) ........................................................................................................ 62
8. Page by page completeness check ....................................................................................... 63
9. Sent to Regulators ............................................................................................................... 64

D. How to send a submission to regulators .............................................................................. 64
1. Completeness check ............................................................................................................. 64
2. Complete submission screen for an Initial submission completed by an individual ............ 65
3. Complete submission screen for submissions to be made to regulators by an AFR .............. 66
4. Submit to regulators screen ................................................................................................ 66
5. Submission fee summary screen .......................................................................................... 66
6. Sending to regulators ......................................................................................................... 67
7. Submissions made by firms and individuals associated with firms that are IDA members ...... 67

E. Dealing with submissions after they have been sent to regulators ........................................ 67
1. Review of submissions by regulators .................................................................................. 67
2. Approval and acknowledgement of submissions by regulators ......................................... 67
3. Terms and conditions ......................................................................................................... 67
4. Withdrawing submissions ................................................................................................... 68
5. Abandoned submissions ..................................................................................................... 68

F. Bulk Transfer of Locations and Individuals .......................................................................... 68

CHAPTER 8 - ADMINISTRATIVE TOOLS .............................................................................. 70

A. Set Up Users .......................................................................................................................... 70
B. Maintain Users ...................................................................................................................... 73
C. Change Password ................................................................................................................ 74
D. Reset Password .................................................................................................................. 75
E. Revoke Access ..................................................................................................................... 76
F. Resubmit Fee Payment ......................................................................................................... 77
G. Reports ................................................................................................................................. 77
1. Reconciliation report by submission ................................................................................... 78
2. Reconciliation report by EFT (electronic funds transfer) ...................................................... 80
3. List Registrants report ........................................................................................................ 81
4. List AFRs report .................................................................................................................. 83
5. Generate Progress Report on Submission for Individuals Included in Data Transfer .......... 84
6. Generate Permanent Record Report for an Individual Registrant ....................................... 85
7. Recall Report by Number .................................................................................................... 86

CHAPTER 9 - SEARCHING FOR AND VIEWING INFORMATION ON NRD ......................... 87

A. The Search function .......................................................................................................... 87
B. How to search the system ................................................................................................... 87
1. Search criteria ....................................................................................................................... 87
2. Search results ...................................................................................................................... 89
3. Hyperlinks for viewing information .................................................................................... 90
C. Viewing information on NRD ............................................................................................. 90
1. Individual information – Permanent Record ...................................................................... 90
2. Firm and individual submissions ........................................................................................ 96
CHAPTER 1 - ABOUT THIS MANUAL

Chapter Outline
This chapter provides an outline of the contents and structure of this manual. Included in this chapter are tips on navigating the manual and a description of the registration instruments relating to NRD.

A. About this manual

This manual has been written for those who will be using the National Registration Database (NRD) at www.nrd.ca to submit applications, notices and registration information to regulators, and to search for and view information on the National Registration Database.

To use NRD, you must be an authorized firm representative for one or more firms. An authorized firm representative or AFR is a person that is authorized by a firm to access information and make submissions to regulators using NRD regarding that firm and individuals associated with that firm. Authorized firm representatives are described in detail in Chapter 4 – Authorized Firm Representatives. When this manual refers to “you” and “your firm”, it is referring to you in your capacity as an AFR and the firm or firms for which you are acting as an AFR, respectively.

B. Organization of this manual

This manual is structured to follow the business flow of your use of NRD. It begins with a description of NRD, how to access NRD and set up other users, how to navigate the system and finally how to make submissions, perform administrative tasks and manage your firm’s information on NRD.

Table of Contents in Acrobat Reader – This manual includes a detailed table of contents and hyperlinks for easy navigation. When you open this document in Acrobat Reader, if the Table of Contents frame on the left of your screen does not display, click the Show/Hide Navigation Pane icon on the Acrobat toolbar. Click the Bookmarks tab in this window to view the Table of Contents.
Screen shots – The manual is enhanced by images taken from the NRD website, www.nrd.ca. These screen shots help to illustrate the various functions available on the system. You will notice that many images are close-ups of the relevant portions of screens and do not always display the full screen as it appears when you are on the system.

Image resolution – when viewing the manual in Acrobat Reader, you may find that some screen shots display with some blurring or distortion. A zoom level of about 125% provides good resolution of most screen images, displays the body of text at a comfortable size for reading, and is small enough to fit the full page width and the navigation window on your screen. You may wish to print the manual as well.

Terminology – This manual uses many terms that are unique to NRD. Refer to the glossary for definitions.

Hyperlinks and bookmarks – throughout this manual, you will see certain words or text highlighted in blue. These are hyperlinks to other parts of the manual, such as the glossary or sections that provide more information on the highlighted text, such as reports. Certain headings and objects such as screen shots or portions of screen shot are also hyperlinks. When you float the Acrobat cursor over such links, the “open hand” changes to a “pointing hand”.

Follow any link with a single click. To return to your original location in the manual, click the left-pointing arrow on your Acrobat toolbar.

The following is a brief description of each chapter of the manual. Click a title to jump directly to that section of the manual:

Chapter 1 – About this Manual

This chapter provides an outline of the contents of this manual and describes the registration instruments relating to NRD.

Chapter 2 – Overview of the National Registration Database

This chapter describes the National Registration Database, who can access and use NRD and what registration information is available on NRD. This chapter also describes what registration information must be submitted on NRD and what information must continue to be filed and delivered in paper format. The permanent record in NRD and NRD numbers are also explained in this chapter.
Chapter 3 – Enrolling your Firm to Use NRD

This chapter explains firm enrolment on NRD through the completion and delivery of the required enrolment forms to the NRD administrator.

Chapter 4 – Authorized Firm Representatives

This chapter describes the role of an authorized firm representative (AFR) and describes the three types: chief AFRs, AFR administrators and AFRs. This chapter describes how a chief AFR is appointed and explains user IDs, passwords and PINs that are required in order to use the system.

Chapter 5 – Fees Collected Through NRD

This chapter describes the payment of submission fees, annual registration fees and NRD user fees by way of electronic funds transfer. This chapter explains NRD accounts and the authorization by an AFR of fee payments through NRD.

Chapter 6 – Navigating the NRD Website

This chapter explains the various navigation tools on the NRD website.

Chapter 7 – Making NRD Submissions

This chapter explains NRD submissions, NRD submission types, who may make an NRD submission and the procedures for making NRD submissions to regulators.

Chapter 8 – Administrative Tools

This chapter explains the administrative tools features of NRD for performing tasks such as changing passwords, appointing AFR administrators and AFRs, resubmitting fee payments and generating NRD reports for your records.

Chapter 9 – Searching for and Viewing Information on NRD

This chapter explains how to search and view registration information on NRD and describes the retrievable information.

Glossary

The glossary defines commonly used NRD terminology. You will notice throughout the manual some terms highlighted in blue. Click such terms to follow links to either the glossary definition or to pertinent sections elsewhere in the manual.

Submission Illustrations

This section provides step-by-step directions, tips and screen shots of each submission type available on NRD. The submissions are ordered as they appear on the website task menus. To
keep this manual at a manageable size, these illustrations do not display every screen you would see during the course of a submission, but the screens unique to a particular submission are included. You will notice that many images are close-ups of the relevant portions of screens and do not always display the full screen as it appears when you are on the system.

**Form 33-109F4 – Registration Information for an Individual**

This manual includes a copy of Form 33-109F4 – Registration Information for an Individual. The submission illustrations make frequent references to this document. Please refer to the Form especially in referencing the full text of disclosure questions.

This manual also includes NRD Forms 1 – Enrolment of Firm Filer, 2 – Enrolment of Chief Authorized Firm Representative and 3 – NRD Account Holder Authorization, which are the required firm enrolment forms for NRD. The NRD enrolment and user fees are also included.

C. **How to get copies of this manual**

Copies of this manual in English or French may be downloaded from the NRD website at www.nrd.ca. Click Help in the upper right of your screen once you have logged in to NRD.

D. **The registration instruments**

The use of NRD is governed by Multilateral Instrument 31-102 National Registration Database (MI 31-102). The requirements and procedures for providing registration information to regulators are set forth in Multilateral Instrument 33-109 Registration Information (MI 33-109). These instruments are collectively referred to in this manual as the multilateral instruments. Further details on the multilateral instruments and NRD can be found in Companion Policy 31-102CP and Companion Policy 33-109CP.

Please note, however, that the use of NRD by individuals registered or seeking to be registered under commodity futures legislation in Ontario and Manitoba is governed by each province’s Rule 31-509 (Commodities Futures Act) National Registration Database (Rule 31-509). Further, such individuals are required to provide registration information to regulators pursuant to each province’s Rule 33-506 (Commodity Futures Act) Registration Information (Rule 33-506).

The multilateral instruments and the provincial rules are collectively referred to in this manual as the registration instruments.

The multilateral instruments have been adopted in each of the provinces and territories of Canada, other than Québec. Accordingly, references in this manual to the provinces and territories of Canada are references to the jurisdictions participating in NRD, being each of the provinces and territories, other than Québec.

E. **Registration instrument form references**

The registration instruments reference a number of forms:

**Multilateral Instrument 33-109 Registration Information**
Form 33-109F1 *Notice of Termination* - notifies the regulator when the employment of a registered individual or a non-registered individual is terminated under securities legislation

Form 33-109F2 *Change or Surrender of Individual Categories* - notifies the regulator when an individual wishes to change or surrender her/his individual categories

Form 33-109F3 *Business Locations other than Head Office* - notifies the regulator that a firm wishes to change its business location information

Form 33-109F4 *Registration Information for an Individual* - is used by an individual to provide information to the regulator in connection with the registration of the individual

Form 33-109F5 *Change of Registration Information* notifies the regulator when a change is made to the information of a registered individual, non-registered individual or a registered firm (individuals only use this form if relying on the temporary hardship exemption - if not relying on the exemption individuals will make changes directly to the Form 33-109F4 in NRD)

Form 3 - is the required form for an application registration as a dealer, adviser or underwriter in the local jurisdiction

Form 4 or 1-U-2000 – is the form that was required for an application for registration for an individual in the local jurisdiction before the effective date of MI 33-109

**Rule 33-506 (Commodity Futures Act) Registration Information**

Form 33-506F1 *Notice of Termination* - notifies the regulator when the employment of a registered individual or a non-registered individual is terminated

Form 33-506F2 *Change or Surrender of Individual Categories* - notifies the regulator when an individual wishes to change or surrender her/his individual categories

Form 33-506F3 *Business Locations other than Head Office* - notifies the regulator that a firm wishes to change its business location information

Form 33-506F4 *Registration Information for an Individual* - is used by an individual to provide information to the regulator in connection with the registration of the individual or the registration of the individual’s firm

Form 33-506F5 *Change of Registration Information* notifies the regulator when a change is made to the information of a registered individual, non-registered individual or a registered firm (individuals only use this form if relying on the temporary hardship exemption - if not relying on the exemption individuals will make changes directly to the Form 33-109F4 in NRD)

Form 5 - is the required form for an application registration as a dealer, adviser or underwriter in the local jurisdiction

Form 7 - is the form that was required for an application for registration for an individual in the local jurisdiction before the effective date of MI 33-109

For the sake of convenience, all form references in this manual will be references to the MI 33-109 forms. If a firm or individual is registered or is seeking registration under commodity futures legislation, the MI 33-109 form references should be read as corresponding Rule 33-506 form
references. In other words, when using this manual as a commodity futures legislation registrant, references to:

- Form 33-109F1 mean Form 33-506F1
- Form 33-109F2 mean Form 33-506F2
- Form 33-109F3 mean Form 33-506F3
- Form 33-109F4 mean Form 33-506F4
- Form 33-109F5 mean Form 33-506F5
- Form 3 mean Form 5
- Form 4 mean Form 7
CHAPTER 2 - OVERVIEW OF THE NATIONAL REGISTRATION DATABASE

Chapter Outline
This chapter describes the National Registration Database and tells you who can access and use NRD and what registration information you can find on NRD. This chapter also tells you what registration information must be submitted using NRD and what information must continue to be filed and delivered in paper format. The permanent record in NRD and NRD numbers are also explained in this chapter.

A. The National Registration Database

The National Registration Database (NRD) is an electronic database containing registration information for dealers, advisers, underwriters and individuals registered under securities or commodity futures legislation in Canada, and also under IDA by-laws, or who are otherwise required by such legislation to submit registration information to regulators. NRD is also a system used by applicants and registrants to electronically submit certain applications, notices and other registration information to regulators. NRD contains registration information with respect to participating jurisdictions. The participating jurisdictions are, in alphabetical order:

- Alberta
- British Columbia
- Manitoba
- New Brunswick
- Newfoundland and Labrador
- Nova Scotia
- Northwest Territories
- Nunavut
- Ontario
- Prince Edward Island
- Saskatchewan
- Yukon

The database and the system used to electronically submit registration information are accessed using the NRD website located at www.nrd.ca. In this manual, the terms National Registration Database, NRD and the system are used interchangeably to refer to both the database containing registration information and the system used to submit electronically registration information described above.

This manual refers often to “firms”, “individuals”, “registered individuals”, “non-registered individuals” and “regulators”. See the glossary for their definitions.

B. Hardware and software required to use NRD
You do not require any specialized software or equipment in order to use NRD. All you require is a computer with an Internet connection and an Internet browser as specified below. In order to effectively use NRD, it is recommended that your hardware, operating system and software meet or exceed the following specifications:

- personal computer with a 133 MHz Pentium processor and 32 MB of RAM
- Internet connection and Hayes compatible modem with a minimum speed of 56,000 bps
- Adobe Acrobat reader 4.x for generating reports and viewing this Help Manual online.
- The tested and supported Internet browser softwares for using NRD are:
  - Internet Explorer 5.5 and 6.0
  - Netscape 4.7 and 6.2
- The tested and supported operating system for using NRD are:
  - Windows 95, 2000, and NT 4

Any minimum desktop hardware or operating system requirements specified by browser and operating system vendors is the minimum requirement for NRD.

C. **Registration functions you can perform using NRD**

NRD was designed primarily to facilitate the submission and storage of registration information relating to individuals. Although NRD allows you to perform registration functions on behalf of both firms and individuals, most of the registration functions you can perform using NRD relate to individuals.

1. **Firm functions**

Using NRD, you may perform the following firm functions on-line:

- notify regulators of the opening and closing, address change, status change and branch manager change of business locations of your firm
- view information including historical data regarding your firm (legal name, other names, head office details, jurisdictions in which the firm is registered and registration categories, terms and conditions, business locations, and annual fee summary)
- perform bulk annual fee exclusions
- pay annual registration/renewal fees

2. **Individual functions**

Using NRD, you may perform the following individual functions on-line:

- apply for the registration of an individual
- submit information for non-registered individuals
- apply for an exemption from proficiency requirements applicable to registered or non-registered individuals
- notify regulators of changes to an individual’s information
apply for the transfer of the registration of an individual from one firm to another
apply for multiple employment of an individual with more than one firm
notify regulators of a termination of an individual’s employment
surrender or change an individual category
search for and view information regarding the individuals associated with your firm

3. Administrative Functions

set up and maintain authorized firm representatives (AFRs)
generate reports on submissions, submission fees, registrants and AFRs

D. Access to NRD

The NRD website is a password-protected website that is not currently accessible to the general public. NRD may only be accessed and used by individuals who are authorized to do so by a firm. These individuals include authorized firm representatives (AFRs) as well as individuals who have been granted authorization to use NRD for the limited purpose of completing their own applications for registration on Form 33-109F4. An authorized firm representative or AFR is a person authorized by a firm to access information and make submissions to regulators using NRD regarding that firm and individuals associated with that firm. Authorized firm representatives are described in detail in Chapter 4 – Authorized Firm Representatives.

E. Contents of NRD

NRD contains information about your firm and individuals associated with your firm. Information in NRD exists in one of these three forms:

• The permanent record is the NRD term for the current and historical record of information in NRD for a firm or individual and is described below.

• Information that has been prepared by an AFR on the system but that has not yet been submitted to regulators using NRD is a work in progress and is described in Chapter 7 – Making NRD Submissions.

• Information that has been submitted to regulators using NRD, but that has not yet been processed by regulators, constitutes the AFR’s sent to regulators list and is also described in Chapter 7.

1. The permanent record

The permanent record for a firm or individual is created from the information submitted to regulators using NRD or filed or delivered in paper format, as the case may be. The permanent includes all information that has been submitted to and accepted by the regulator. You will know information has been accepted by the regulator when you retrieve the firm’s or individual’s permanent record and see the changes there. You may also
perform a search on the relevant submission, and view the Submission History, which indicates whether regulators have accepted the information you submitted.

For an individual, the permanent record will initially consist of the information submitted on Form 33-109F4, after regulators process and accept the information. For a firm, the permanent record will initially consist of certain information filed in paper format on the firm’s initial application for registration on Form 3, together with business location information for that firm submitted to regulators using NRD, after the application is approved and the business location information is acknowledged by regulators. The permanent record for both individuals and firms can be added to through later submissions. Changes to the permanent record are reflected as historical information.

Searching for and viewing information in the permanent record for a firm or individual is described in Chapter 9 – Searching and Viewing Information on NRD. An overview of the information you can find in the permanent record for firms and individuals is provided below. For a more detailed description, please see Chapter 9.

2. Firm information – Permanent Record

The permanent record of your firm does not contain most of the information that your firm is required to disclose to regulators on its initial application for registration in a province or territory of Canada. The firm’s permanent record contains the following information, both historical and current:

- the legal and other names used by your firm;
- the head office and other business locations of your firm;
- categories of registration in which your firm is registered (this includes registration status);
- the terms and conditions on your firm’s registration; and
- a summary of the annual registration and NRD user fees paid by your firm

The permanent record also includes any regulatory actions taken against the firm. This information can be viewed for each province and territory in which your firm is registered.

3. Individual information – Permanent Record

The permanent record contains information regarding each individual associated with your firm. This information consists of all the information required to be submitted to regulators for an individual on Form 33-109F4, including any updates made from time to time using NRD. The individual’s permanent record includes the following information:

- the legal and other names used by the individual;
- residential address;
- personal information;
- citizenship;
- jurisdictions of registration and individual categories (this includes registration status);
The permanent record also includes any regulatory actions taken against the individual.

F. Requirements to submit information to regulators through NRD and in paper format

NRD does not completely eliminate the need for firms and individuals to file or deliver certain registration-related applications, supporting materials and notices in paper format. In general, most information regarding firms, including an initial application for registration as a dealer, adviser or underwriter, must be filed or delivered in paper format, while most information regarding individuals, including information on Form 33-109F4, must be submitted in electronic format using NRD. See NRD submission in the glossary for more information.

1. Registration information that must be submitted to regulators using NRD

The following registration information must be submitted to regulators electronically using NRD and, if applicable, in the forms set out below:

- Information regarding a firm’s locations
- Individual information
- An application for an exemption from proficiency requirements applicable to registered and non-registered individuals. (You may use NRD for this application if the individual in question is associated with your firm.)
- A notice of any changes to an individual’s information
- An application to transfer an individual from one firm to another
- A notice of termination of an individual’s employment
- A surrender or change of individual categories
- An notice to exclude individuals from the annual fee calculation

The information referred to above must be submitted to regulators using the appropriate NRD submission types. These submission types consist of one or more screens on which you may enter information by typing into the input fields on the screen or by clicking on checkboxes or radio buttons provided for this purpose. These submission types replace many of the forms and notices that were required to be filed or delivered in paper format prior to the effective dates of the registration instruments. These submission types are described in Chapter 7 – Making NRD Submissions and in the submission illustrations included in this manual.

2. Registration information that must be filed or delivered to regulators in paper format

The following registration information must be filed or delivered to regulators in paper format:
An application for registration as a dealer, adviser or underwriter on Form 3 and all supporting documents in connection with such an application

A notice of any changes to a firm’s information contained on Form 3, other than information regarding a firm’s locations

A notice of amalgamation or merger of a firm with another firm

An application for membership with the Investment Dealers Association of Canada or the Mutual Fund Dealers Association of Canada

Any potential supporting documents required to accompany an individual’s application for registration (e.g. financial disclosure).

Firms and individuals must continue to file or deliver information to regulators in paper format in the manner required by applicable securities and commodity futures legislation.

G. Supporting documents

Certain submission types or sections of submissions require supporting documents. Supporting document requirements are at the discretion of the regulator. If you are sending a supporting document to regulators, include a covering letter and submit the document to regulators within 5 business days of sending the pertinent submission to regulators on NRD.

Include the following information in the covering letter:

1. NRD submission number
2. NRD number of the individual
3. Full legal name of the individual
4. NRD number of the sponsoring firm
5. Full legal name of the sponsoring firm
6. Reference to the supporting document being submitted
7. Signature of an authorized firm representative, branch manager or partner, director or officer of the firm.

1. Registration information that must be filed with regulators in paper format in support of an NRD submission

When an applicant or registrant has answered "Yes" to the following financial disclosure items, the lead jurisdiction will require the applicant to provide the following supporting documents:

Financial Disclosure: (Item 16 of Form 33-109F4/Form 33-506F4): Item 16 includes the following 4 sections:

(a) Item 16, 1(a) – Bankruptcy
If the applicant or registrant has ever declared personal bankruptcy, the applicant or registrant must submit a Statement of Affairs to the regulator. If the applicant or registrant has been discharged from the bankruptcy, the applicant or registrant must also submit a copy of the discharge to the regulator.

(b) Item 16, 1(b) – Bankruptcy

If the applicant or registrant has made a proposal under legislation relating to bankruptcy or insolvency, the applicant or registrant must submit a copy of the proposal and a Statement of Affairs.

(c) Item 16, 1(c) – Bankruptcy

If the applicant or registrant has been subject to proceedings under any legislation relating to the winding up, dissolution or companies’ creditors arrangement, the applicant must submit documentation relating to these proceedings.

(d) Item 16, 1(d) – Bankruptcy

If the applicant or registrant has been subject to or instituted any proceedings, arrangement or compromise with creditors, the applicant must submit documentation relating to these proceedings.

(e) Item 16, 2 – Solvency

Regulators will have the discretion to request a supporting document based on the disclosure provided by the applicant or registrant.

2. Registration information for which no supporting documents must be filed with regulators in paper format

(a) Other Names

(b) Photographs

(c) Proficiency

(d) Dual Employment Consent Letter

(e) Bank Reference Letter/Reference Letters

(f) Material Disclosure Items

Where an applicant or registrant has answered, "Yes" to one of the following disclosure items, regulators will not require any supporting documents to be filed outside of NRD.

(i) Regulatory Disclosure (Item 13 of Form 33-109F4/33-506F4)

(ii) Criminal Disclosure (Item 14 of Form 33-109F4/33-506F4)
(iii) Civil Disclosure: (Item 15 of Form 33-109F4/33-506F4)

(iv) Financial Disclosure (Item 16 of Form 33-109F4/33-506F4):

   (1) Item 16, 3 - Surety or Financial Bond

   (2) Item 16, 4 - Garnishments, Unsatisfied Judgements or Directions to Pay

(v) Related Securities Firms (Item 17 of Form 33-109F4/33-506F4)

(vi) Submission to Jurisdiction and Appointment of Agent for Service

3. Proof of Registration in Other Jurisdictions

With the implementation of NRD, proof of registration in an NRD participating jurisdiction is no longer required since NRD indicates where the individual is registered or accepted as a “non-registered” individual. It is also recommended that an individual seeking registration or acceptance who indicates registration in a non-participating NRD jurisdiction (i.e. Québec or United States of America) will not be required to submit proof of registration in those jurisdiction since Item 13 of Form 33-109F4/33-506F4 captures the information. Regulators will, however, continue the practice of conducting background checks with other regulators.

4. Freedom of Information (FOI) and Consent Form

The FOI Form will no longer be required as a supporting document since the certification section of the Form 33-109F4/33-506F4 includes the information.

The "Certification" section indicates to the individual applicant that by submitting the application for registration or acceptance, the individual consents to the collection of personal information by a securities regulatory authority or self-regulatory organization which may include police records.

5. Non-Duplication of Filing Requirements

Supporting documents will be filed by firms only with the lead jurisdiction. Firms will file supporting documents with both the applicable commission and IDA in non-delegated jurisdictions.

The non-lead jurisdictions will not ask for duplicate documentation from the firm or filer.

H. Lead and non-lead jurisdictions

Because NRD is a single database shared by all participating regulators, there is a need for a single designated jurisdiction to take the “lead” on entering and updating certain information about firms whose head offices are in their jurisdiction. A lead jurisdiction is required for those firms whose head office is outside of a participating jurisdiction.

1. How is the lead jurisdiction determined?
If your firm is applying for registration in more than one participating jurisdiction, each regulator is required to review it in order to determine the lead jurisdiction. In some jurisdictions the Form 3 does not require the firm to disclose where they are applying for registration, but only where the firm or its affiliates are currently registered. As a result, firms applying in multiple jurisdictions are required to submit to those jurisdictions a supporting document identifying the jurisdictions to which they are making application. The lead jurisdiction for a firm is determined by the location of the firm’s head office.

EXAMPLE – For a firm applying for registration in Ontario, British Columbia and Alberta, with a head office in Calgary, the lead jurisdiction is Alberta and the non-lead jurisdictions are Ontario and British Columbia.

The lead jurisdiction for an individual is determined by that individual’s place of residence.

2. **What if the head office is located in Québec or outside of Canada?**

If your firm has a head office outside of the participating jurisdictions (i.e. Québec or foreign), the firm’s lead jurisdiction is determined by a weighting of the provinces/territories in which the firm is applying to register. The weighting is based on the population of each province or territory, as follows:

- Ontario
- British Columbia
- Alberta
- Manitoba
- Saskatchewan
- Nova Scotia
- New Brunswick
- Newfoundland and Labrador
- Prince Edward Island
- Northwest Territories
- Yukon
- Nunavut

EXAMPLE – For a firm applying to register in New Brunswick, Ontario and British Columbia with a head office in New York, the lead jurisdiction is Ontario and the non-lead jurisdictions are New Brunswick and British Columbia.

I. **Notices of changes to registration information**

Securities and commodity futures legislation and IDA by-laws require firms and individuals to keep registration information current by requiring registrants to notify regulators of changes to registration information. Notices of changes to registration information for firms must be filed or delivered in paper format (with the exception of location information, which must be submitted using NRD), whereas all notices of changes to registration information for individuals must be submitted using NRD.
Under the registration instruments, all notices of changes to information regarding firms and individuals, other than notices of changes to an individual’s proficiency and personal information previously submitted on Form 33-109F4, must be submitted, filed or delivered, as the case may be, within five business days of the occurrence of the change. Notices of changes to an individual’s proficiency and personal information must be submitted within one year of the occurrence of the change.

NOTE – Requirements under IDA by-laws may differ from securities and commodity futures legislation.

J. Temporary hardship exemption

If unanticipated technical difficulties prevent you from making an NRD submission to regulators within the time required under applicable securities or commodity futures legislation, you may file that submission in paper format in reliance on the temporary hardship exemption provided by the registration instruments. In these circumstances, you must file or deliver the required submission in paper format or make the submission using NRD no later than five business days after the day on which the information was required to be submitted. Likewise, if unanticipated technical difficulties prevent you from making a submission to regulators on behalf of an individual on Form 33-109F4, you may file or deliver that submission in paper format. In both cases, if you file or deliver a submission in paper format in reliance on the temporary hardship exemption, you must type the following legend in capital letters at the top of the first page of the submission:

IN ACCORDANCE WITH SECTION 5.1 OF MULTILATERAL INSTRUMENT 31-102 NATIONAL REGISTRATION DATABASE, THIS [SPECIFY DOCUMENT] IS BEING SUBMITTED IN PAPER FORMAT UNDER A TEMPORARY HARDSHIP EXEMPTION.

OR

IN ACCORDANCE WITH SECTION 5.1 OF [ONTARIO OR MANITOBA] SECURITIES COMMISSION RULE 31-509 NATIONAL REGISTRATION DATABASE, THIS [SPECIFY DOCUMENT] IS BEING SUBMITTED IN PAPER FORMAT UNDER A TEMPORARY HARDSHIP EXEMPTION.

If you file a submission in paper format in reliance on the temporary hardship exemption, the registration instruments also require you to make the submission using NRD as soon as practicable and in any event within 10 business days of the unanticipated technical difficulties being resolved.

K. NRD numbers

An NRD number is a unique number generated by NRD to identify a firm, individual or business location.

1. NRD numbers for firms and individuals

A firm’s NRD number is generated by the system when the NRD administrator creates its record on the system. Whenever you login to the system as an AFR for your firm, the firm’s legal name and NRD number are displayed in blue text near the top of your screen.
If you are associated with more than one firm, you select the firm in which you wish to work from the Firm List that appears after you login.

A firm’s NRD number may be displayed in either the upper left or upper right corner of your screen, while an individual’s NRD number will be displayed in the upper left corner of your screen.

The system generates the NRD number for an individual when you create an Initial Registration for that individual. This NRD number is assigned to the individual even before you send the submission to regulators. The NRD number can be viewed in your Work in Progress and later, in your Sent to Regulators list.

When you perform searches and prepare certain submissions, the system will require you to enter or give you the option of entering an individual NRD number in an input field provided on your screen.
You must indicate an individual’s NRD number on all correspondence and supporting materials filed or delivered to regulators in paper format that relate to a submission for that individual.

AFRs are not assigned NRD numbers by the system. Rather, AFRs are assigned user IDs as outlined in Chapter 4 – Authorized Firm Representatives.

2. NRD numbers for business locations

The system generates an NRD number for a business location when you first create a submission to Open a Location. This NRD number is assigned to the business location even before you send the submission to regulators. The NRD number can be viewed in your Work in Progress section and later, in your Sent to Regulators section (See illustrations above). This number can also be used to retrieve location information during a search or during certain firm and individual submissions (e.g. Location Address Change, Employment Location Change, etc.)

L. NRD submission numbers

The system assigns each NRD submission an NRD number. The system assigns the number when you create the submission. This number can be viewed in your Work in Progress and Sent to Regulators sections (See illustrations above). You may perform searches by submission number, as described in Chapter 9 – Searching and Viewing Information on NRD.

You must indicate the NRD submission number (and individual NRD number, if applicable) on all correspondence and supporting materials filed or delivered to regulators in paper format that relate to that submission.

M. Communication with regulators outside NRD

NRD allows you to submit certain applications, notices and registration information to regulators electronically. NRD does not replace other means of communicating or corresponding with regulators with respect to registration matters. While you are encouraged to make use of this manual to instruct yourself and your staff on the practical use of the NRD website, you should continue to contact appropriate staff of regulators by telephone, fax or e-mail in connection with registration matters relating to your firm or individuals associated with your firm (e.g. deficiency or approval notification), whether or not those matters relate to the use of NRD. All correspondence from regulators to you and your firm, including comment letters on application materials or submissions, will continue to be sent by mail, fax or e-mail, depending on local practice in each province and territory.
CHAPTER 3 - ENROLLING YOUR FIRM TO USE NRD

Chapter Outline
This chapter tells you how to enrol your firm to use NRD by completing and delivering the required enrolment forms to CDS INC., the NRD administrator.

A. Introduction

All firms are required to enrol to use NRD to submit applications and notices to regulators using NRD as required by the registration instruments. Enrolling your firm to use NRD is different from applying for registration as a dealer, adviser or underwriter with a securities regulatory authority or applying for membership with the Investment Dealers Association of Canada. When your firm enrols to use NRD, your firm is establishing on the system its initial record of information. Your firm will be required to enrol to use NRD if it is seeking registration as a dealer, adviser or underwriter in one of the provinces or territories of Canada, not including Québec.

B. When to enrol your firm to use NRD

If your firm is seeking registration for the first time as a dealer, adviser or underwriter in one or more provinces or territories of Canada, not including Québec, your firm will be required to enrol to use NRD concurrently with preparing its applications for registration or membership, as the case may be, to be filed with regulators. Your firm is required to enrol only once with the NRD administrator to use NRD. Therefore, if your firm is registered in at least one province or territory of Canada, not including Québec, to use NRD and is seeking registration in another province or territory of Canada, not including Québec, it will not be required to enrol to use NRD a second time.

Most of your firm’s initial application materials for registration as a dealer, adviser or underwriter will be prepared and filed in paper format. However, certain portions of your firm’s application – namely, the initial applications for registration of individuals prepared on Form 33-109F4 and information regarding locations of your firm prepared on Form 33-109F3 – must be submitted in electronic format using NRD. Accordingly, your firm will be required to enrol to use NRD in order to complete your firm’s application for registration, since your firm must be enrolled to use NRD in order to make submissions to regulators. Your firm should therefore enrol to use NRD as soon as possible during the period in which it is preparing its application materials for registration to be filed with regulators.

Application materials for the registration of your firm, other than the information that must be submitted using NRD, should be filed with regulators as soon as possible in order to allow AFRs for your firm to complete and submit information using NRD, as described below. AFRs are dependent on regulators to establish the firm's registration categories before they can complete and send submissions to regulators on NRD. Chapter 7 – Making NRD Submissions explains how to make submissions, including the initial applications for registration of individuals on Form 33-109F4 and location information for your firm on Form 33-109F3.

C. How to enrol to use NRD

To enrol to use NRD, your firm must:
 appointment one person to act as the chief authorized firm representative for your firm; that person must accept the appointment

- maintain one account with a member of the Canadian Payments Association from which fees will be paid in NRD by pre-authorized debit

- complete and deliver to the NRD administrator, concurrently and in paper format, the NRD enrolment forms described below, together with any required fees and a copy of your firm’s incorporating documents or, if your firm is not a corporation, other documents issued by the applicable governmental office confirming the legal name of your firm

1. NRD enrolment forms

There are three NRD enrolment forms that must be completed in order for your firm to enrol to use NRD. These forms are available on the NRD website at www.nrd.ca.

You are required to deliver the following enrolment materials:

- NRD Form 1 – Enrolment of Firm Filer
- NRD Form 2 – Enrolment of Chief AFR
- NRD Form 3 – NRD Account Holder Authorization
- Articles of incorporation or any other document issued by a governmental office confirming the legal name of the firm
- Applicable Fees (payable to CDS INC.)
- Void cheque for NRD account (from which submission, annual and user fees will be electronically withdrawn)

All items must be delivered together, by prepaid mail or personally to CDS INC., Attention: NRD administrator, 85 Richmond Street West, Toronto, Ontario, M5H 2C9.

The three forms are described below.

(a) NRD Form 1 – Enrolment of Firm Filer

This form requires your firm to provide certain basic information regarding your firm, including your firm’s name, address particulars of the appropriate contact person at your firm, and financial institution details for the account to be used to make payments in NRD by electronic pre-authorized debit purposes. Your firm confirms the appointment of a chief AFR by completing section 2 of this form. This form also contains the terms and conditions of use of NRD. This form must be signed by authorized signatories of your firm.

(b) NRD Form 2 – Enrolment of Chief Authorized Firm Representative

This form requires a person being appointed as a chief AFR to provide certain basic information regarding that person, including name, phone number, fax number and e-mail address particulars. This form must be completed and signed by the person enrolled as chief AFR for your firm if that person is being enrolled as a chief AFR for the first time or if that person previously acted as the chief AFR for a firm but is
not acting as the chief AFR for any firm at the time of being enrolled. If the person being enrolled as the chief AFR for your firm is currently a chief AFR with another firm, this form need not be completed and submitted to the NRD administrator in order to enrol your firm to use NRD. In these circumstances, if the person wishes to use the same user ID as s/he uses as a chief AFR with another firm, s/he can do so by providing that user ID to the firm enrolling her/him as a chief AFR. A chief AFR also indicates on the form the PIN s/he has chosen for the purposes of logging in to the system for the first time. This form, user IDs, PINs and chief AFRs are discussed in Chapter 4 – Authorized Firm Representatives.

(c) NRD Form 3 – NRD Account Holder Authorization

This form requires the entity (which may be your firm itself) paying fees through NRD on behalf of your firm and individuals associated with your firm to provide particulars of the address and financial institution account of that entity for the purposes of electronic pre-authorized debits. This form must be completed and signed by the payor who will be paying fees for your firm by electronic pre-authorized debit. Electronic pre-authorized debits are explained in Chapter 5 – Fees Collected Through NRD.

2. Enrolment Fees

The NRD enrolment fees are payable by paper cheque, to the order of CDS INC. Please submit this cheque along with the NRD enrolment forms. Refer to the NRD Enrolment and User Fees section at the end of the manual for more information. Enrolment fees are subject to the Goods and Services Tax (GST).

3. Confirmation of Enrolment to use NRD

(a) Confirmation of set-up by NRD administrator

After your firm delivers the NRD enrolment forms, other required documents and fees to the NRD administrator, the NRD administrator will set up your firm on the system. Set-up is the NRD term that refers to the entering on the system by the NRD administrator of information about your firm. Set-up is performed by the NRD administrator on the basis of the contents of the enrolment forms delivered by your firm. No record of information about your firm will exist on NRD until the NRD administrator has set up your firm on the system.

After the NRD administrator has set up your firm, the chief AFR for your firm will receive a confirmation from the NRD administrator (by fax or e-mail) that confirms that your firm has been set up on the system. This confirmation will set out the name and NRD number of your firm, as well as the name, telephone number, fax number and e-mail address of your firm’s chief AFR. This confirmation should be checked for accuracy by the chief AFR for your firm. If the chief AFR is being enrolled as a chief AFR for the first time or is not acting as a chief AFR for another firm at the time of being enrolled, the confirmation will also contain the user ID and initial password of the chief AFR. The chief AFR’s PIN will not be referred to in the confirmation received by the chief AFR.
Once the chief AFR for your firm has received confirmation that your firm has been set up on the system, your firm’s chief AFR will be able to access NRD to set up AFRs and AFR administrators, if desired. The chief AFR must authorize AFRs before they can make submissions.

While AFRs may create submissions as soon as they are authorized and set up on the system by their chief AFR, those submissions cannot be completed and sent to regulators until application materials in paper format are reviewed by the applicable regulators as described below, and until regulators have established your firm’s registration categories.

If your firm is applying for registration as a dealer, adviser or underwriter, the preparation of required submissions should commence as soon as possible, since your firm’s application for registration cannot be completed without your firm making these submissions to regulators using NRD. If it hasn’t done so already, your firm should also file with regulators in each province or territory other than Québec in which registration is being sought:

- Its applications for registration as a dealer, adviser or underwriter on Form 3;
- An IDA or MFDA application for membership in paper format with Form 3, if applicable; and
- All required supporting documentation.

(b) **Review of firm application materials in paper format by regulators**

After your firm has been set up on the system by the NRD administrator, the regulators to which your firm has applied for registration as a dealer, adviser or underwriter will review your firm’s application materials in paper format and confirm the registration categories in which your firm is seeking registration. Regulators input your firm’s registration categories on NRD.

While your firm is awaiting notification from regulators that applicable regulators have reviewed your firm’s application materials in paper format, AFRs authorized by your firm’s chief AFR may commence the process of making required NRD submissions to regulators. See Chapter 7 – Making NRD Submissions.
Flow of Actions for a Firm Applying for Registration as a Dealer, Adviser, or Underwriter

1. Prepare firm application materials in paper format, including:
   - Applications on Form 3 for all jurisdictions in which registration is sought
   - Supporting documents
   - Application material for membership in Investment Dealers Association of Canada or Mutual Funds Dealers Association of Canada, as applicable

2. Appoint a chief authorized firm representative

3. Designate an account at a financial institution for payment of fees in NRD by pre-authorized debit.

4. Complete and submit to NRD administrator the following forms:
   - Enrolment of Firm Filer;
   - Enrolment of Chief Authorized Representative;
   - NRD Account Holder Authorization (Include a void cheque for NRD Account)
   - Articles of incorporation or any other document issued by a governmental office confirming the legal name of the firm
   - Applicable enrolment fees

5. Receive confirmation of set-up/enrolment from NRD administrator
   (This confirmation includes system access information for your chief AFR, unless the chief AFR already has access to NRD due to an association with another firm)

AFR – NRD Format

- Chief AFR may appoint AFRs to begin creating submissions

- When regulator has established firm’s registration categories:
  - AFRs prepare and send to regulators:
    - Form 33-109F4
    - Form 33-109F3

AFR - Paper Format

- File firm application materials in paper format with regulators in each jurisdiction where registration is sought

Regulator

- Review application materials received from firm and its AFRs
- Establish firm registration categories

- Return comments in paper format for all application materials for registrations

- Firm corresponds with regulators re: comments. AFRs make additional submissions if required

- Once the firm has satisfied the registration requirements, the registration is reflected on NRD and the firm is “Active”
CHAPTER 4 - AUTHORIZED FIRM REPRESENTATIVES

Chapter Outline
This chapter describes the role of an authorized firm representative and describes the three types of authorized firm representative: the AFR, the chief AFR and the AFR administrator. This chapter describes how a chief AFR is appointed and introduces the concepts of user IDs, passwords and PINs that are required in order to use the system.

A. Authorized firm representatives

1. Role of authorized firm representatives

An authorized firm representative or AFR is a person who is authorized by a firm to access information and make NRD submissions to regulators in respect of that firm and individuals associated with that firm. Only authorized firm representatives and, in limited circumstances (which are described in Chapter 7 – Making NRD Submissions), individuals may access and use NRD.

You may not access information on NRD regarding other firms or individuals associated with those firms, nor may you make submissions on their behalf, unless you are an AFR for those firms.

There are three types of authorized firm representatives for NRD purposes:

- chief authorized firm representative
- authorized firm representative administrator
- authorized firm representative

A chief authorized firm representative or chief AFR is an authorized firm representative who has accepted a firm’s appointment to act as that firm’s highest-ranking authorized firm representative. This person has an enhanced level of access to the system and, in addition to being able to perform all the functions of an AFR, is able to perform additional functions including:

- Granting and revoking user IDs and passwords to persons that will act as AFRs and AFR administrators for a firm in order to permit those persons to access and use NRD
- Resetting passwords and maintaining user profile information for AFR administrators and AFRs
- Accessing the submissions of all AFRs of a firm
- Granting or removing AFRs access to particular submissions created in NRD by AFRs of a firm; also termed re-assigning submissions
- Co-ordinating and delivering firm enrolment materials to the NRD administrator
- Receiving on behalf of the firm: notices, confirmations and other correspondence from the NRD administrator
An **authorized firm representative administrator or AFR administrator** is an authorized firm representative that, like a chief AFR, also has an enhanced level of access to the system. An AFR administrator may perform all the same NRD functions as a chief AFR.

NOTE – neither chief AFRs nor AFR administrators may revoke access, reset passwords or change the user profile of a chief AFR. These actions must be performed by the NRD administrator.

NOTE – There is **no functional difference between the Chief AFR and AFR administrators on the NRD site**. Both have access to all NRD functions. The difference in these two roles is in their activities and responsibilities outside the electronic world of NRD. For example, it is the chief AFR who is contacted by the NRD administrator on questions regarding payment of annual fees. Also, it is the chief AFR who communicates registration information change at the firm level (e.g.: Firm Name, Head Office information, registration category changes) to the regulator. The chief AFR is the first point of contact between the firm and the NRD administrator, and therefore has the highest responsibility among the AFRs of the firm.

An **authorized firm representative or AFR** has access to the system for the purposes of performing the basic functions of an authorized firm representative for a firm, namely making submissions on behalf of the firm and individuals associated with the firm, as well as searching for and viewing information on NRD. AFRs can **change their own password**, **resubmit fee payments** and generate all **report** types, but they do not have access to the other admin tools.

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<thead>
<tr>
<th>NRD Functions and Features Access</th>
<th>Chief AFR</th>
<th>AFR Admin</th>
<th>AFR</th>
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<td>Individual Submissions</td>
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<td>Firm Information</td>
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<td>Admin Tools – Set Up Users</td>
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<td>Admin Tools – Maintain Users</td>
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<td>Admin Tools – Change Password</td>
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<td>Admin Tools – Reports</td>
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Unless otherwise specified, the term AFR is used in this manual to refer to all AFR types in general.

2. **Requirements to appoint the chief AFR, AFR administrators, and AFRs**

   Every firm is required to appoint a person to act as a chief AFR for the firm. Every firm must have at least one person acting as a chief AFR at all times. A firm is not required, however, to appoint one or more AFRs or AFR administrators. The system provides firms with the ability to appoint AFRs and AFR administrators to allow firms to distribute the registration workload among several AFRs as desired. There is no limit to the number of AFRs a firm has, as long as there is always at least one chief AFR.

3. **No formal qualifications required**

   An AFR (AFR, AFR administrator, or chief AFR) for a firm is not required by securities or commodity futures legislation to have any particular educational or experience qualifications or hold any particular position with the firm. An AFR is not required to be an employee, partner, officer or director of a firm. Further, an AFR for a firm may be a lawyer, paralegal, legal assistant, other professional or any other person that is employed by an organization other than the firm, such as an affiliate corporation of the firm or a law firm or accounting firm used by the firm.

   An AFR may be any natural person authorized to act as an AFR for NRD purposes. In a larger firm, for instance, an AFR is likely to be an employee of the firm who works in one or more of the registration, legal or compliance areas and whose duties involve registration related work. In a smaller firm, an AFR may be a person whose regular duties do not involve registration-related work.

4. **No limit on the number of firms for which you can be an AFR**

   There is no limit on the number of firms for whom an AFR may act, whether they act as chief AFRs, AFR administrators or AFRs. For instance, lawyers, paralegals or other professionals in private practice may act as AFRs for more than one firm. However, the AFR must play the same role (i.e., chief AFR, or AFR administrator, or AFR) across her/his various firms if s/he is using a single user ID.

   If you are an AFR for more than one firm and are using a single user ID, the system will present you with a Firm List whenever you log in to the system. Always pay special attention to the firm you select on this page. Otherwise, you might inadvertently make submissions for the wrong firm. If you use different user IDs for your various firms, you can more assuredly avoid this type of mix-up. However, you must memorize more than one user ID and you must log in to separate sessions for each firm you may be working on.

B. **Setting up chief AFRs, AFR administrators and AFRs**

   Every person accessing and using NRD must have a valid user ID and a password for logging in to the system. User set-up is the NRD term used to describe the act of providing a user ID and
password to a person in order to give that person access to NRD as a chief AFR, AFR administrator or an AFR for a firm. Please memorize or record your user ID, password and, as a chief AFR, your personal identification number (PIN) in a secure manner.

The procedure for setting up a chief AFR differs from the procedure for setting up an AFR administrator and an AFR. The NRD administrator completes the set-up of a chief AFR, as described below. The set-up of an AFR administrator or an AFR is done by a chief AFR or an AFR administrator using the system, and is discussed in Chapter 8 – Administrative Tools.

C. Appointing a chief AFR

You may appoint one person and only one person to act as a chief AFR for your firm. In order to confirm the appointment of a chief AFR, a firm must complete, in paper format, NRD Form 2 – Enrolment of Chief Authorized Firm Representative. The form must be delivered to CDS INC., Attention: NRD administrator, 85 Richmond Street West, Toronto, Ontario, M5H 2C9. This form is one of the forms used to enrol a firm to use NRD and is described in Chapter 3 – Enrolling Your Firm to Use NRD.

A firm confirms the appointment of a chief AFR by completing section 2 of NRD Form 1 - Enrolment of Firm which requires a firm to provide the full legal name of the person being appointed as a chief AFR. Depending on whether this person is acting as a chief AFR for another firm at the time of being appointed as a chief AFR, the firm must do one of two things:

- if the person is acting as a chief AFR for another firm at the time of being appointed as a chief AFR and the person wishes to use his existing user ID, the firm must also enter the user ID of that person in the space provided in section 2 for this purpose and NRD Form 2 – Enrolment of Chief AFR need not be delivered to the NRD administrator by that chief AFR
- if the person is not acting as a chief AFR for another firm at the time of being appointed as a chief AFR or the person wishes to have a new user ID for the firm appointing her/him, the firm should leave blank the space provided in section 2 for this purpose, and instead, the person being appointed as a chief AFR should complete NRD Form 2 – Enrolment of Chief AFR.

The Enrolment of Chief AFR form must be completed by (1) anyone being appointed as a chief AFR for the first time; (2) anyone that previously acted as a chief AFR for a firm but is not acting as a chief AFR for any firm at the time that the person is being appointed as a chief AFR; and (3) anyone that wishes to have a new user ID for the firm appointing her/him. Among other things, the Enrolment of Chief AFR form requires a person being appointed as a chief AFR to choose a PIN that the chief AFR will use to log in to NRD for the first time. The chief AFR also elects on this form to receive correspondence from the NRD administrator by either fax or e-mail. Completed forms must be delivered to: CDS INC., Attention: NRD administrator, 85 Richmond Street West, Toronto, Ontario, M5H 2C9, together with the other enrolment forms.

After the NRD enrolment forms, additional documents and fees required to be submitted together with these forms are submitted to the NRD administrator, the NRD administrator will send confirmation of set-up to the chief AFR by fax or email, based on the chief AFR’s preference indicated on the enrolment form. There will be a covering email or fax to accompany the confirmation. This confirmation will set out, among other information, the name of the firm as well as the chief AFR’s user ID and initial password to be used to access NRD, unless the person being appointed as a chief AFR is currently acting as a chief AFR for another firm and does not
wish to have a new user ID in respect of her/his appointment. If this is the case, that person will already have a user ID and password to use NRD and the confirmation sent to that person will not contain a new user ID or password. A person may use a single ID for more than one firm if s/he is acting in the same capacity for each firm. That is, in every firm this person must act only in the role of chief AFR, AFR administrator or AFR to use only one user ID. NRD enrolment forms are described in more detail in Chapter 3 – Enrolling Your Firm to Use NRD.

D. Revoking an existing chief AFR and Appointing a new chief AFR

A firm may revoke a person’s appointment as a chief AFR and enrol a new chief AFR at any time by completing a new NRD Form 1 – Enrolment of Firm Filer, and identifying on NRD Form 1 and Form 2 that it is a Change to Previous Filing for the Appointment of a new chief AFR, and NRD Forms 1 and 2, if required. The firm should include on the form(s) the name and particulars of the new person whose appointment as a chief AFR is being confirmed. The firm should deliver the form(s) to the NRD administrator at the address set out above. Only a firm may revoke a person’s appointment as a chief AFR.

After the NRD administrator has received NRD Form 1 and NRD Form 2, if required, and has set up the change in NRD, the access to the system of the person whose appointment is being revoked will be terminated with respect to the relevant firm. Revoking the appointment of a person as a chief AFR for one firm does not affect that person’s status as a chief AFR for other firms. However, a firm should notify any individual whose appointment as a chief AFR is being revoked by the firm, since neither the system nor the NRD administrator will provide any notice to the person.

A chief AFR can change her/his own password using Change Password on NRD, but to update her/his own name or contact information, s/he must complete a new NRD Form 2 in paper format and submit it to the NRD administrator.
A. Payment of submission fees, annual registration fees and annual NRD user fees

The fees payable by Firms include regulatory fees and fees for the use of NRD. They are:

1. Submission Fees

Applications for registration, notices or amendments sent to regulators using NRD may have a fee prescribed by securities and/or commodity futures legislation and under IDA by-laws. The fees collected at the time the submission is sent may go directly to the commission and/or to the IDA, as applicable. NRD facilitates submission fees being paid to both the commission and IDA when applicable.

If fees are payable in connection with a particular submission sent to regulators using NRD, the system will determine the fees payable by the firm at the time that the submission is to be sent to regulators. This determination is based on the fee schedule in effect in each of the provinces and territories other than Québec in which the submission is being made and under IDA by-laws, as applicable.

In addition to the fees currently prescribed under securities legislation, a Firm will be required to pay a fee for each individual who is applying for registration in a single jurisdiction. An additional fee is payable by the Firm for each additional jurisdiction to which the individual applies. A non-registered individual will also be charged a fee, irrespective of the number of jurisdictions in which the Firm is registered.

When an AFR sends a submission to regulators using NRD, a screen displays the total fees payable to regulators by jurisdiction.

2. Annual Registration Fees

Under applicable securities and/or commodity futures legislation, Firms must also pay annual registration fees to regulators in provinces and territories other than Québec in which they are registered and to the IDA if applicable to maintain registration. The preliminary annual fee summary is generated on December 1. On December 31 of each year, NRD generates the final annual fee summary. This serves as notice to the firm that “x” amount was debited from the firm’s NRD account for renewal of registration or payment of fees in some jurisdictions in support of permanent registration.

The firm may use the Bulk Annual Fee Exclusion submission until December 30th of a given year to exclude individuals from the December 31 annual fee payment. If the firm uses this submission, the firm must file one of the following submissions for each individual who is excluded from the Annual Fee calculation:
3. **Annual NRD User Fee**

NRD user fees are paid by Firms annually to the NRD administrator on December 31. NRD fees are also payable with the following submissions:

- Initial Registration
- Registration in an Additional Jurisdiction
- Reactivation of Registration

The user fee is based on the number of jurisdictions in which the individual is registered with your firm, to a cap of 6 jurisdictions. An NRD administrative fee is applicable to correct default payments.

- *Part 4 of Multilateral Instrument 31-102 National Registration Database requires Firms to pay submission fees, annual registration fees and NRD user fees by electronic funds transfer (EFT).*

- *All fees are subject to the Goods and Services Tax (GST).*

- *See the NRD Enrolment and User Fees section at the end of this manual for more information.*

**B. EFT and the NRD account**

EFT is the transfer of funds through **electronic pre-authorized debit**. It authorizes a financial institution to debit or credit the firm’s **NRD account**.

For NRD purposes, the payees consist of the regulators in each province and territory of Canada other than Québec, the Investment Dealers Association of Canada and the NRD administrator. EFT is initiated through NRD.

A firm designates an NRD account by completing an Enrolment of Firm Filer form and having the NRD account holder complete an NRD Account Holder Authorization form and delivering these forms to the NRD administrator, as described in **Chapter 3 – Enrolling your Firm to Use NRD**.

The name of the NRD account holder, the name and branch transit number of the payor’s financial institution and the account number of the account must be indicated on these forms.

The firm may designate any financial institution account as the NRD account from which funds will be transferred for NRD purposes, as long as the account is with a member of the Canadian Payments Association.

NOTE – Every AFR appointed by your firm has the ability to cause your firm’s NRD account to be debited by virtue of her/his ability to make NRD submissions to regulators, since any applicable submission fees will automatically be debited from that account at the time of
submission. This is the case whether or not the NRD account is an account in the name of your firm or in the name of a third party.

NRD has been designed to calculate fees and create an EFT file for transmission to the Bank of Montreal (BMO) for collection and distribution to the applicable regulators and/or NRD administrator.

1. Payment status definitions

   (a) Created
       The payment has been acknowledged by the AFR who completed the submission in question, and is being processed.

   (b) Exchanged
       The payment has been successfully transmitted through the EFT process and has reached BMO for processing.

   (c) Paid
       The payment has been successfully processed; the amount acknowledged by the AFR who completed the submission in question has been debited from the firm’s NRD account.

   (d) Returned
       The payment was not successfully debited from the firm’s NRD account due to non-sufficient funds.

   (e) Rejected
       The payment was not successfully debited from the firm’s NRD account due to an error such as incorrect account information.

2. Submission fee status definitions

   The submission fee statuses include Created, Paid, Returned and Rejected, as well as:

   (a) Exempt
       Fees that might normally be applied to a submission are not applied.

   (b) No charge
       No charge is applicable to the submission type.

3. Process for rejected/returned payments

   If a payment has been rejected or returned, the NRD administrator will contact the chief AFR to advise on the payment status and on the nature of problem. The chief AFR should address any issue with the NRD account and resubmit the payment (see Resubmit Fee Payment in Chapter 8 – Administrative Tools). If resubmitted payment is returned or rejected again, the NRD administrator will contact the applicable regulator(s) and the chief AFR.

C. Calculation of submission fees by the system
As part of the Complete Submission process on NRD, the system calculates and displays the total fees as allocated and payable to regulators in each province or territory in which the submission is being made and/or to the NRD administrator. NRD bases this calculation on the fee schedule in effect in each of the provinces and territories in which the submission is being made. See Chapter 7 – Making NRD Submissions for more details.

The firm’s NRD account will not be debited the amount shown on the fee calculation screen until the AFR acknowledges the amount listed and finishes the Complete Submission process by sending the submission to regulators.

Some fees are calculated outside the system and are communicated to the AFR by the Regulator. In this case you would use the resubmit payment function in the Admin Tools section of NRD, and select to “Resubmit additional funds directly related to a submission or annual fee renewal”. See Chapter 8 – Administrative tools for more details.

D. Reconciliation reports

To reconcile your firm’s records of its NRD account with NRD’s record of fees debited from that account, you may generate reconciliation reports using the “Administrative Tools” function in NRD. These reconciliation reports will show you NRD’s record of the amounts that were debited from your firm’s NRD account for the purposes of paying submission fees, annual registration fees or NRD user fees. The two reconciliation reports types available on NRD are:

1. Reconciliation Report by Submission

   This report lists of submissions according to your criteria made by your firm over a specified period that shows the fee amounts paid in respect of submissions and the status of those payments.

2. Reconciliation Report by EFT

   This report lists electronic authorized debits from your NRD account, according to your criteria, showing amounts debited and credited over a specified period.

See Reports in Chapter 8 – Administrative Tools for more information on generating reconciliation reports.

E. Requests for refunds

NRD automatically debits your firm’s NRD account for the purposes of paying submission fees, annual registration fees and NRD user fees. Under special circumstances, a refund may be in order, in which case you must contact the NRD administrator and the regulator in each applicable province or territory from which you require a refund. You must contact the NRD administrator and regulator(s) from outside the NRD system. Any corrections to the fees payable by your firm will be dealt with by way of manual refunds made to your firm outside the system.

F. Late filing fees
NRD does not calculate late filing fees. If your firm owes late filing fees to a regulator, the regulator will communicate the late charge to the AFR outside the system (i.e. by telephone or email, as specified in the AFR’s user profile when s/he was set up on the system).

The regulator communicating late filing fees to an AFR will provide you with the following information and instruct you to use the Resubmit fee payment function on NRD:

- Reason for the late fee
- Applicable NRD submission number
- Amount due to late filing
- Due date for submission of late funds through NRD (see Resubmit fee payment in Chapter 8)
CHAPTER 6 - NAVIGATING THE NRD WEBSITE

This chapter tells you how to navigate the NRD website using the navigators found on the system.

A. The NRD website

The address of the NRD website is www.nrd.ca. The first screen displayed is the NRD splash page.

1. NRD splash page

The NRD splash page displays the NRD logo and prompts you to select either the English or the French language version of the website. There are also links to information on intellectual property, enrolling to use NRD and on privacy.

Click the language of your choice to proceed to the login page.

2. Logging in

After selecting the English or French language version of the website, the system displays the login page.

TIP – You may also download copies of the NRD enrolment forms from the Login page.

Enter your user ID and password and click Login.
(a) First login for chief AFR

If you are a chief AFR and are logging in to NRD for the first time, the system prompts you to enter your PIN. As a chief AFR, you will have selected a PIN and communicated it to the NRD administrator when you completed NRD Form 2 – Enrolment of Chief Authorized Firm Representative. Enter the PIN and click Login.

You will then be prompted to change your password, just as the AFR administrator and AFR do on their first login. If you have forgotten your PIN or other login information, contact the NRD administrator for assistance.

(b) First login for AFR administrator and AFR

After you enter your user ID and password and click Login, the system prompts you to change your password. Enter the system-generated password that you received from your chief AFR. Then enter a new, personalized password of your choosing. The password must be a series of 6-20 alphanumeric characters (letters and numbers), no special characters (spaces, punctuation marks, etc.), and must begin with a letter. Confirm the new password in the third field and click Save & Continue.
See Set Up Users in Chapter 8 – Administrative Tools for more details on first-time logins.

If you do not have a user ID and password (and PIN if you are a chief AFR), or if you are not able to log in to the system using your user ID and password (and PIN, if applicable), contact one of the following for assistance:

- if you are the chief AFR for your firm, contact the CDS INC. Help Desk at 1-800-219-5381
- if you are an AFR administrator for your firm, you should contact the chief AFR for your firm
- if you are an AFR for your firm, you should contact either the chief AFR or an AFR administrator for your firm
- if you are an individual that is completing an initial application for registration on Form 33-109F4 using NRD, you should contact the AFR who provided you with your user ID and password for accessing NRD

NOTE – If you make three unsuccessful login attempts within a thirty-minute period, your access to the system will be frozen. If you get “locked-out”, contact the appropriate person listed above for assistance. See Reset Password in Chapter 8 – Administrative Tools for information on unlocking access for AFR administrators and AFRs.

B. Navigating the NRD website

Once you have successfully logged in to the system, the system displays the task menu. (AFRs who are associated with more than one firm under the same user ID will first be presented with a Firm List. These AFRs select a firm to work on, and are then presented with the task menu.) The task menu displays a list of hyperlinks that correspond to the tabs on the main navigator. Select a task from the list or directly from the main navigator.
1. Global navigator

The global navigator is a row of links in small text at the upper right corner of each screen: Privacy Statement, Help, Français/English and Logout. If you are an AFR for more than one firm, Firm List will also appear as a choice in the global navigator.

(a) Privacy Statement

Click this link to view a privacy statement regarding the collection and use of information on NRD.

(b) Firm List

If you are an AFR using the same user ID for more than one firm, the Firm List link appears on your global navigator. Follow this link to view your firm list. This feature enables you to work on your various firms in one session without logging out of the system. AFRs who are associated with more than one firm are presented with their firm list whenever they login.
Firm List

<table>
<thead>
<tr>
<th>NRD No.</th>
<th>Name of Firm</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>5040</td>
<td>ARROWSTREET CAPITAL, LIMITED PARTNERSHIP</td>
<td>Active</td>
</tr>
<tr>
<td>19750</td>
<td>Société canadienne d'investissement</td>
<td>Active</td>
</tr>
</tbody>
</table>

(c) Help

Clicking Help launches a new browser window – your current NRD session is not interrupted. The system displays a page of frequently asked questions and hyperlinks to other help tools and help contacts. This page also includes a hyperlink to this manual.
(d) **Français/English**

If you change your language preference by clicking on the language link in the global navigator, the system will log you out of the system and present the login screen in your new preferred language. Since the language link is effectively a logout button, be sure to save or complete any submissions you are working on before clicking the link.

(e) **Logout**

Click **Logout** to exit the system. Be sure to save any work before logging out.

2. **Main navigator**

![Main Navigator](image)

The **main navigator** is a row of tabs that run across the top of each NRD screen. These links are repeated as text hyperlinks at the bottom of each NRD screen. Each link is described below.

(a) **Firm Submission**

Click this item to create a new submission on behalf of your firm. See [Chapter 7 – Making NRD Submissions](#) for details. See the [Submission Illustrations – Firm Submissions](#) for screens and full details on this function.

(b) **Individual Submission**

Click this item to create a new submission on behalf of an individual associated or seeking to be associated with your firm. See [Chapter 7 – Making Submissions Using NRD](#) for details. The individual submission types are organized into three categories. See the [Submission Illustrations – Individual Submissions](#) to view all individual submission types.

(c) **Search**

Click this item to perform searches on:

- **Individuals** associated with your firm;
- **Firm or individual submissions**: you may search any submission made by your firm that has been processed by the regulators. Chief AFRs and AFR administrators may also search submissions made by AFRs in the firm that are still in the state of [Work in Progress](#) or [Sent to Regulators](#);
- **Locations** of your firm
See [Chapter 9 – Searching and Viewing Information on NRD](#) for more details on performing searches.

(d) **Work in Progress**

Click this item to view your **Work in Progress**. Work in progress consists of submissions that you have created and completed to some extent, but have not yet sent to regulators. **Work in Progress** is explained in [Chapter 7 – Making NRD Submissions](#).

(e) **Sent to Regulators**

Click this item to view submissions that you have completed and sent to regulators. Submissions stay in **Sent to Regulators** until regulators have processed them.

You can sort your Sent to Regulators submissions by NRD number, Name, Submission Number, Submission Type or Date Sent. Click the appropriate column heading to sort your submissions by that criterion. Unlike Work in Progress submissions, you cannot delete submissions from your **Sent to Regulators** list.

(f) **Firm Information**

Click this item if you want to view information about your firm. See [Firm Information – Permanent Record](#) in [Chapter 9 – Searching and Viewing Information on NRD](#) for more details on viewing your firm’s information.

(g) **Admin Tools**

Click this item to perform administrative tasks, such as setting up and maintaining users, resubmitting fees or generating reports. The admin tools available to you depend on your AFR role. See [Chapter 8 – Administrative Tools](#) for full details and instructions on using the NRD Admin Tools functions.

3. **Local navigator**

![Local navigator](#)
After selecting a task from the main navigator, the system displays a subset of commands or links in the local navigator, a column of tabs that appears at the left of your screen. Some main navigator tabs – Work In Progress and Sent to Regulators – do not have corresponding local navigators, but if you open any of the submissions in either of these sections, the submission’s local navigator will appear.

4. **Error/Informational/Warning messages**

As you work in NRD, the system may display an error, informational or warning message in red at the top of the screen, in response to an action you have taken. These messages will help you correct mistakes or avoid unintended actions while using NRD.

**EXAMPLES:**

“Severe” Error messages force the user to correct an action. Until you correct the error on a particular screen, the system will not allow you to proceed. For instance, the system will display a severe error message if you attempt to:

- enter an invalid postal code or date of birth
- assign an individual to a branch in a jurisdiction in which s/he is not registered or registering
- leave a mandatory field blank (e.g. First Name or Telephone Number in an Initial Registration)

Informational messages simply indicate the presence or absence of requested data. For instance, the system will display an informational message if you:

- click View History for a permanent record item that has no historical records
- execute a search for which there are no results
- have Terms and Conditions on an individual’s permanent record

Warning messages do not force you to correct an action, but they do relay important facts concerning your submission. It is advisable to note these messages and follow their recommendations appropriately. For instance, the system will display a warning message if you:

- are completing a Notice of Termination for an individual who is a branch manager;
- are completing a Close a Location submission for a business location where individuals are still working.

5. **Using your Browser’s navigation buttons.**
When you click your Internet browser’s Back button (or hit the “Backspace” button on your keyboard), typically, the browser brings you to the previous page. If the previous page was part of a submission on which you are required to enter information, clicking the Back button will reload the page, but if you click “Save & Continue” again on that page, the system will recognize that you have already input information for that page. The system will automatically return you to the last page you were on before you clicked your browser’s back button.

Nevertheless, to avoid being confused by this interrupted navigation, you should never use your browser’s Back button (or “Forward” or “Refresh/Reload” buttons for that matter) while you are working on a submission or an Admin Tools function.

However, you may use your browser’s navigation buttons when you are viewing Firm Information or information retrieved from the Search function, such as an individual’s permanent record, firm or individual submissions or location information.

See Chapter 7 – Making NRD Submissions for more tips on how using various NRD commands while using the system.
CHAPTER 7 - MAKING NRD SUBMISSIONS

Chapter Outline
This chapter describes each NRD submission type, who may make a submission and the procedures for creating, completing and sending submissions to regulators.

A. NRD submissions and NRD submission types

An NRD submission is the NRD term for registration-related information that is prepared and sent to regulators under Canadian securities legislation, commodity futures legislation or IDA requirements using NRD. Submissions are the NRD equivalent of some of the forms and other documents that applicants or registrants filed or delivered in paper format prior to the effective dates of the registration instruments. Throughout this manual, NRD submissions are often referred to as submissions, or specified as firm submissions or individual submissions.

As described in Chapter 2 – Overview of the National Registration Database, the registration instruments require that certain registration information be submitted to regulators electronically using NRD. This information must be prepared and submitted using the appropriate submission types found on the system. An NRD submission type is the NRD term for a screen or a series of screens on NRD by which you enter registration related information in a standard form for a particular purpose. The purpose of some of these submission types, such as Form 33-109F4, is to apply for the registration of an individual with one or more regulators. The purpose of other individual submission types is to provide notice to regulators of changes to registration information for an individual. Throughout this manual, NRD submission types are often referred to simply as submission types.

The specific submission types that may be created and submitted on behalf of firms and individuals using NRD are described below. The submission illustrations in this manual provide you with details, illustrations and tips on completing each submission type.

1. Firm submissions

There are six firm submission types that you can make using NRD:

(a) **Open a Location**

This submission type allows your firm to open a business location in a province or territory other than Québec in which your firm is registered or in which your firm is applying for registration. This submission type requires you to provide address and contact information, branch manager/designated supervisor information, as well as whether the location is a branch or sub-branch.

(b) **Close a Location**

This submission type allows your firm to close an existing business location, (branch or sub-branch) in a province or territory in which your firm is registered other than Québec.
(c) **Location Address Information Change**

This submission type allows your firm to give notice of a change to the address and contact information for a particular branch or sub-branch of your firm in a province or territory other than Québec in which your firm is registered.

(d) **Location Branch Manager Change**

This submission type allows your firm to give notice of a change in the branch manager at a particular branch or sub-branch of your firm in a province or territory other than Québec in which your firm is registered.

(e) **Location Status Change**

This submission type allows your firm to change the location type (Branch or Sub-Branch) of a particular location of your firm in a province or territory in which your firm is registered.

(f) **Annual Fee Exclusion**

This submission type allows your firm to exclude certain individuals associated with your firm from the calculation of annual fees payable by your firm.

TIP – This submission must be made for each jurisdiction where the individual is registered and where you wish to exclude her/him from annual fees, and it can only be made once to each jurisdiction in a given year.

TIP – You may include more than one individual in the submission, as long as they are all in the same jurisdiction.

2. **Individual submissions**

There are three categories of individual submission types that you can make using NRD on behalf of individuals associated with your firm. They are:

- Initial
- Amendment
- Notice

There are six submission types in the “Initial” category of individual submissions, two submission types in the “Amendment” category, and fifteen submission types in the “Notice” category. In the case of notices, the particular item of Form 33-109F4 to which each submission type relates is referred to in round brackets.

(a) **Initial**

Each of the following submission types allows you to complete and submit a Form 33-109F4. To Expedite the regulator’s review of your submission, select the most appropriate submission type.
While the following descriptions of these submissions refer to “registered individuals” and to the “registration” of individuals, these submissions are also to be used by or on behalf of non-registered individuals.

(i)  **Initial Registration**

Use this submission type if you are applying for the registration of an individual through NRD for the first time.

(ii) **Transfer of Registration**

Use this submission type if:

(A) You are applying for registration of an individual within three months of that person leaving her/his last sponsoring firm; and

(B) You are applying for registration of an individual in the same jurisdiction and the same category as that person’s registration with her/his last sponsoring firm.

However, if the individual left his/her last sponsoring firm any time between October 1 and December 31 of a given year and s/he is applying for registration after that December 31, use the submission entitled **Reactivation of Registration**.

(iii) **Registration with an Additional Sponsoring Firm**

Use this submission if:

(A) You are applying for registration of an individual in a jurisdiction in which s/he is currently registered; and

(B) S/he is not leaving her/his current sponsoring firm.

You should ensure that the multiple employment of an individual is permitted under applicable securities and commodity futures legislation prior to using this submission type.

(iv) **Registration in an Additional Jurisdiction**

Use this submission if the individual in question is currently registered in a jurisdiction and the firm that is sponsoring that registration is sponsoring this application for registration in another jurisdiction.

Example:

A Firm is registered in two jurisdictions: Ontario and New Brunswick. Individual “A” is registered with the firm, in Ontario only. To register Individual “A” in New Brunswick *as well*, the AFR completes the submission to Register in an additional jurisdiction.
(v) **Registration Information for an Individual Included in the Data Transfer**

Unless you are reactivating an individual's registration, use this submission type if the individual was recorded on NRD on the NRD launch date and s/he is submitting Form 33-109F4 or Form 33-506F4 for the first time.

(vi) **Reactivation of Registration**

Use this submission if the individual is applying for registration after having left the last sponsoring firm more than three months ago.

Use this submission if the individual left the last sponsoring firm any time between October 1 and December 31 of a given year and you are applying for registration of that individual after that December 31.

(b) **Amendment**

Amendments can be used to address deficiencies addressed by the regulator.

(i) **Change or Surrender of Individual Categories**

This submission type allows you to complete and submit a Form 33-109F2 to change or surrender individual categories. You must make this submission once for each jurisdiction in which the individual is changing or surrendering categories.

TIP – if the individual is surrendering all categories in all jurisdictions in which s/he is registered, complete the **Notice of Termination**, and not the Change or Surrender of Individual Categories.

(ii) **Apply for an Exemption**

This submission type allows you to apply for an exemption from a proficiency requirement for an individual associated with your firm.

NOTE – If this submission is approved, the proficiency section of the individual's permanent record is automatically updated.

(c) **Notices**

(i) **Notice of Termination (Form 33-109F1)**

This submission type allows you to give notice of the termination of employment of an individual with your firm for all the jurisdictions in which s/he is registered with your firm.

TIP - if the individual is registered with your firm in more than one jurisdiction and is not surrendering categories in all of these jurisdictions, complete the **Amendment – Change or Surrender of Individual Categories**, and not the Notice of Termination.
(ii) **Individual Name Change (Item 1 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to legal and other name information that was previously submitted for that individual.

(iii) **Residential Address Change (Item 2 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the residential address information that was previously submitted for that individual.

(iv) **Personal Information Change (Item 3 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the personal description information (eye and hair colour, weight and height) that was previously submitted for that individual. Personal information such as date and place of birth cannot be altered.

(v) **Citizenship Information Change (Item 4 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the citizenship information that was previously submitted for that individual.

(vi) **Address and Agent for Service Change (Item 7 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the address and agent for service information that was previously submitted for that individual.

This submission is filed for each jurisdiction in which the individual is registered.

(vii) **Proficiency Information Change (Item 8 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the proficiency information that was previously submitted for that individual.

(viii) **Exemption Refusal Information Change (Item 8 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the information regarding exemption refusals that was previously submitted for that individual.

(ix) **Employment Location Change (Item 9 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change in the location of your firm at which the individual is employed.
(x) **Current Employment Change (Item 10 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the current employment information or information regarding other business activities or employment for gain that was previously submitted for that individual.

(xi) **Regulatory Disclosure Change (Item 13 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the regulatory disclosure that was previously submitted for that individual under the headings “Securities regulatory authorities”, “Self-regulatory organizations” or “Non-securities regulation” on Form 33-109F4.

(xii) **Criminal Disclosure Change (Item 14 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the criminal disclosure that was previously submitted for that individual under the heading “Criminal, provincial and territorial offences” on Form 33-109F4.

(xiii) **Civil Disclosure Change (Item 15 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the civil disclosure that was previously submitted for that individual under the heading “Current and past civil proceedings” on Form 33-109F4.

(xiv) **Financial Disclosure Change (Item 16 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the financial disclosure that was previously submitted for that individual under the headings “Bankruptcy”, “Debt Obligations”, “Surety bond or fidelity bond” or “Garnishments, unsatisfied judgements or directions to pay” on Form 33-109F4.

(xv) **Related Securities Firms Change (Item 17 of Form 33-109F4)**

This submission type allows you to give notice on behalf of an individual of a change to the disclosure that was previously submitted for that individual under the heading “Related securities firms and holdings” on Form 33-109F4.

3. **Single jurisdiction and multi-jurisdiction submission types**

Certain submission types described above are [single jurisdiction submission types](#), which are submission types that are only appropriately made in one province or territory. Other submission types are [multi-jurisdiction submission types](#). That is, they are submission types that may or will be made in more than one province or territory. When you complete a submission and send it to regulators on NRD, the system sends the submission to the appropriate jurisdictions. On your Sent to Regulators list, you can see to which regulators a submission has been sent.
All firm submission types are single-jurisdiction submission types, as each of them relates to a particular location of your firm in a single province or territory.

In addition, the individual submission types Change Address and Agent for Service, Apply for Exemption, and Change or Surrender of Individual Categories are single jurisdiction submission types. All other individual submission types are multi-jurisdictional submission types.

Certain multi-jurisdictional submission types for individuals can be filed in more than one province or territory as an AFR may choose. For instance, the submission types described above in Section 2(a)(i) (Initial Registration), Section 2(a)(ii) (Transfer), Section 2(a)(iii) (Multiple Employment) and Section 2(a)(iv) (Register in an Additional Jurisdiction) may be made in one or more provinces or territories selected by an AFR at the time of preparing those submissions. All other multi-jurisdictional submission types for individuals will automatically be submitted by the system in each province and territory in which the individual is registered or applying for registration. These include all individual submission types in the Notice category, except for the submission type described in Section 2(b)(v) (Change Address and Agent for Service). As all of these submission types are notices of change to an individual’s Form 33-109F4 information previously submitted, it is appropriate that they be submitted to regulators in each jurisdiction in which the individual is registered.

B. Who may make a submission?

1. AFRs

Any AFR can complete any submission type. However, unless you are the chief AFR or an AFR administrator for your firm, you may only complete submissions that are assigned to you.

2. Individuals

An individual who is not an AFR is permitted to complete the information for certain submission types if s/he is granted authorization to do so by an AFR for her/his firm. The submission types allowed are Initial Registration, Reactivation of Registration, and Submission for Individuals included in a Data Transfer. See How to Set up an individual to complete an Initial submission for details on granting authorization to individuals for this purpose. While an individual may complete the information for her/his submission, s/he is not permitted by the system to send the submission to regulators. When the individual completes the submission, the system redirects it to the WIP of the AFR who originally authorized the individual to prepare the submission on the system. Only an AFR for the firm may send submissions to regulators.

C. How to prepare a submission

The process of preparing a submission on-line using NRD involves choosing the appropriate submission type and then completing the information required for that submission type by entering information in the input fields or by clicking on checkboxes or radio buttons provided on your screen for this purpose. These and other functions are described in Section C.4 of this chapter.
Once you have finished preparing a submission, or, if you have authorized an individual to prepare a submission on Form 33-109F4, and you are satisfied with the contents of that submission, you may follow the procedures for completing and sending a submission to regulators. These procedures are described in Section D of this chapter.

Although AFRs may create submissions as soon as they are authorized and set up on the system by their chief AFR, those submissions cannot be completed or sent to regulators until the firm’s registration categories are set-up on NRD in all the applicable jurisdictions.

NOTE – If registration categories are not being set up in a jurisdiction, contact the applicable regulator.

1. Data format tips

   - **Names with French characters**: all French characters are allowable except æ and œ. Use separate characters “ae” and “oe” instead. If you need to search a name with French accents but do not have access to French keyboard settings at your workstation, you may enter plain text to obtain the same search results. For example, if you are searching for an individual associated with your firm with the last name “Guèvremont”, you may enter “Guevremont” with no special characters and the system will still be able to find that record.

   - **Letter cases**: the system saves data as entered, whether upper or lower case. Therefore, especially in the case of legal names, you should enter data as precisely as you wish it to be reflected in the permanent record.

   - **Case-sensitivity**: user ID’s, passwords and search input are not case-sensitive.

   - **City names for locations**: When you are opening locations, you should use a standard format for inputting the city name, especially if you intend to have more than one location in any city. The reason is that the system arrange location records for your firm by city, and if there is more than one spelling/format for a city (e.g.: Toronto, TO, or a typo like “Tornto”), the system will treat these spellings as though they were distinct cities. None of your records will be lost, but you will find the records less convenient to access. As a Chief AFR, you should ensure that all your AFRs are following a standard format for entering city names.

   - **Telephone/Fax numbers and extensions**: numbers only, no spaces or punctuation marks (e.g. 4162222222 instead of 416-222-2222; 456 instead of X456).

   - **Dates**: year must be 4 digits, month and day must be 2 digits.

   - **Disclosure input fields**: These fields have a 20-kilobyte capacity – this means you can enter approximately 20,000 characters of regular text. If you are copying and pasting from an electronic document (i.e., Word or WordPerfect) be advised that formatting features such as bullet lists, fonts, bold/italics/underline, etc. will be lost.

2. Firm submissions

Select “Firm Submission” from the main navigator. Your screen will display the following six choices:

   - **Open a Location**
3. **Individual submissions**

Select Individual Submission from the main navigator. Your screen will display the following individual submission categories:

- Initial
- Amendment
- Notice

See the Submission Illustrations for further details on how to complete each submission type.

NOTE ON INDIVIDUAL NRD NUMBERS – As an AFR, if you are preparing a Transfer of Registration or Reactivation of Registration for an individual, you must obtain from that individual her/his NRD number. If the Individual does not know the NRD number, the regulator can provide this information. You should obtain the individual's consent if you contact the regulator directly for this information. Otherwise, the firm should advise the individual to contact the regulator directly. Also, the regulator in the individual’s jurisdiction of residence should be contacted.

(a) **Single jurisdiction and multi-jurisdiction submission types**

If you are preparing a single-jurisdiction or a multi-jurisdiction submission type that requires you to choose one or more provinces or territories in which your submission is to be made to regulators, you should do so by clicking on the appropriate jurisdictions or checkboxes provided for this purpose. If you are preparing a multi-jurisdiction submission type that is automatically sent to all provinces and territories in which an individual is registered, you will not be prompted to select a jurisdiction. If you are making certain submission types in the Initial category, you must also select the category of registration applicable in each province and territory, as well as the applicable IDA category of approval. For example, an individual applying for registration as a salesperson might choose “salesperson” as the category of registration and “registered representative” as the IDA category of approval.

(b) **Authorizing an individual to prepare her/his application on Form 33-109F4**
AFRs may authorize an individual to prepare her/his registration information for an individual on Form 33-109F4 using NRD. After you have selected the Initial Registration submission type from the Initial category of individual submission types, the system asks who will be completing the initial registration. Select the Individual Applicant radio button and click Continue. The system will guide you through the process of setting up a user ID and password for the individual. The individual may then login and prepare the submission using the same procedures applicable to AFRs of your firm. See How to set up an Individual for more details.

4. Supporting Documents

When completing an individual submission for which supporting documents are required, the AFR need only file supporting documents with the regulator in the jurisdiction in which the individual resides. If the individual is employed in a foreign location, or resides in Québec, please contact the regulator for guidance.

If the individual is applying with an IDA firm, file supporting documentation with both the commission and the IDA.

See Chapter 2, Section G – Supporting Documents for additional information.

5. How to re-assign a submission

When you are preparing a submission, you will see a tab at the bottom of the local navigator called Re-assign submission. This function allows you electronically to forward submissions to other AFRs in your firm, as well as to individuals who have been granted a user ID and password to complete an initial submission type. You may need to re-assign a submission to an individual if, for example, they have not provided adequate information for a disclosure question. You may also re-assign a submission to another AFR if, for example, you need to delegate some of your workload during an absence from your office.
To re-assign a submission, click **Re-assign Submission**. The system displays the submission type and submission number, along with a user identification field. Type in the user id for the AFR or individual applicant to whom you wish to re-assign the submission. Click **Save and Continue**. The system validates the ID and the submission no longer appears in your WIP – it has been instantly transferred to the WIP of the user to whom you have re-assigned it.

6. **Fields, commands and other objects used to enter information for submissions**

   (a) **Text fields, drop-down menus, checkboxes and radio buttons**

   Any field encountered in a submission or admin function (e.g.: address lines, disclosure details text boxes, registration category checkboxes, drop-down menus of provinces and territories, radio buttons for selecting fee resubmission types, etc.) should be considered mandatory unless otherwise indicated. The system will advise you if you have missed any required fields or entered invalid data.

   (b) **“Continue” and “Save & Continue” buttons**

   Certain submission types will require that you click **Continue** to continue to the next screen after you have entered certain information. This command usually appears at the bottom of a screen that re-displays or summarizes information you have already entered.

   Most submission types include more than one screen; thereby dividing data input requirements into manageable chunks. NRD allows you to save each page of information that you complete prior to continuing to the next page by clicking **Save & Continue** at the bottom of your screen.

   See the **NOTE on Inactivity** for tips on avoiding timing out your session before you are ready.

   Each time you click **Save & Continue**, the system validates and saves all the information you have entered so far on your submission. In case you need to logoff
or perform another task, you may retrieve your submission from Work In Progress, and begin work from the last Save.

(c) “Add Another” button

The Add Another button is effectively a “Save” function that also re-presents the form you have just completed, to be filled again with new information.

Certain submission items might have multiple responses. For example, an individual must disclose her/his residential address history for the past ten years. In many cases, more than one residential address must be provided to cover this ten-year requirement.

To enter more than one response with respect to a particular item of information, click the Add Another button at the bottom of the screen.

(d) “Delete” checkbox

The Delete checkbox function is used to delete an item of information in a submission.

In this example, the AFR is preparing an Initial Registration, and has input an Other Name for the individual. After clicking Save & Continue at the bottom of the Other Name input screen, the system displays a summary list of Other Name entries. For whatever reason, the AFR decides to delete the Other Name entry.
The AFR clicks the Other Name hyperlink and the system retrieves the data entered:

To delete this entry, the AFR checks the Delete checkbox in the upper right corner and clicks Save & Continue. This entry no longer appears on the summary list.

Whether you are in the midst of a submission or retrieve it from your Work In Progress, you can delete an entry in the manner described.

(e) “Cancel” and “Reset” buttons

The option to Cancel is presented after you have retrieved the record of an individual or a location while creating a submission. The Cancel command gives you an “out” in case you have retrieved the wrong record (e.g. you wish to Close a Location but you have retrieved the record of the wrong business location).

The Reset button makes the system redisplay the information you have input up to the last time that you clicked Save & Continue for any particular screen. If you have not clicked Save & Continue for the screen on which you are currently working, clicking Reset will clear all information from that screen.
(f) **Using the local navigator to navigate within a submission**

For your convenience, you may use the local navigator to navigate within a submission and select a particular item of information that you wish to complete for that submission, in the order you prefer.

(g) **The browser navigation buttons**

When you click your internet browser’s “Back” button (or hit the “Backspace” button on your keyboard), typically, the browser brings you to the previous page. If the previous page was part of a submission on which you are required to enter information, clicking the “Back” button will reload the page, but if you click “Save & Continue” again on that page, the system will recognize that you have already input information for that page. The system will automatically return you to the last page you were on before you clicked your browser’s back button.

Nevertheless, to avoid being confused by this interrupted navigation, you should **never use your browser’s “Back” button (or “Forward” or “Refresh/Reload” buttons for that matter) while you are working on a submission or an Admin Tools function.**

However, you may use your browser’s navigation buttons when you are viewing Firm Information or information retrieved from the Search function, such as an individual’s permanent record, firm or individual submissions or location information.

7. **Work in progress (WIP)**

You are not required to complete a submission in one session. Any submission that you have not completed and sent to regulators will be stored in your Work in Progress as at the last successful Save. Any information you saved while working on your submission is preserved and is immediately retrievable. Just click the Work in Progress tab to retrieve the submission immediately. Or, it will be retrievable in WIP the next time you log in.

Works in progress do not form part of the permanent record for a firm or an individual but constitute all of the submissions that have been assigned to an AFR that have not yet been sent to regulators. WIP submissions can be deleted by checking the box at the left of the submission on your WIP list and clicking Delete at the bottom of the screen.

You may sort your WIP submissions by NRD number (of the individual or business location in question, or by your firm), by Name (Individual or Firm), by submission number, by submission type, or by Created date. Click the appropriate column heading to sort your submission according to that heading. See the following screen:
If you leave the submission by logging out, by navigating to another function on the site or if your session times out after 45 minutes of inactivity, your submission is stored in your Work in Progress as at the last successful Save.

NOTE ON INACTIVITY – The system may time out your session while you are working on a submission. This might occur if you are working on a screen requiring detailed disclosure – for example, one of the Regulatory Disclosure questions or Current Employment information. If you take more than 45 minutes to complete the disclosure details on a single page, and then click Save & Continue, you may find that your session has timed out. Unfortunately, you would likely have lost your work for that specific page. To avoid this, when you are working on a page that requires a large amount of work, click Save & Continue at regular intervals, even before you are finished with the item, and navigate back to the question or item using the local navigator or by retrieving the submission from WIP. This will save you the trouble of repeating work.

8. Page by page completeness check

When you are preparing a submission on NRD and you click Save & Continue or Continue on any particular screen, the system validates the information you entered. If any data is missing, invalid, or incomplete, the system displays a message near the top of the screen to help you correct the data. Upon receiving this error message, you should complete the missing information and click the Continue or Save & Continue button at the bottom of your screen.
9. **Sent to Regulators**

Click this item to view submissions that you have completed and sent to regulators. Submissions stay in **Sent to Regulators** until regulators have processed them.

You can sort your **Sent to Regulators** submissions by NRD number, Name, Submission Number, Submission Type or Date Sent. Click the appropriate column heading to sort your submissions by that criterion. Unlike **Work in Progress** submissions, you cannot delete submissions from your Sent to Regulators list, nor can you edit them.

![20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.](image)

**Submissions Details**

To view submission history, click on a Submission Type. To sort by a column, click on the column title.

Showing Submissions: 1-2 of 2

<table>
<thead>
<tr>
<th>NRD No.</th>
<th>Name</th>
<th>Submission No.</th>
<th>Submission Type</th>
<th>Date Sent</th>
<th>Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>20240</td>
<td>Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.</td>
<td>200320645</td>
<td>Open a Location</td>
<td>2003/02/19</td>
<td>Dizon,Dina</td>
</tr>
<tr>
<td>808331</td>
<td>Gréga, Lévi</td>
<td>200320871</td>
<td>Individual Name Change</td>
<td>2003/02/19</td>
<td>Dizon,Dina</td>
</tr>
</tbody>
</table>

D. **How to send a submission to regulators**

Once you are satisfied with the information that you have entered for a particular submission, you may proceed to finalize the submission and send it to regulators.

1. **Completeness check**

When you are working on a submission and you:

- click **Complete Submission** on the local navigator; or
- reach the final page of the submission and click **Save & Continue** or **Continue** and start the **Complete Submission** process;

The system validates your submission and checks it for completeness. If all the required information has been entered, the system will display a message confirming that the submission is ready to be sent to regulators. For the individual initial submission types, you will also see checkmarks applied to the complete items in your local navigator. Any incomplete items prompt an error message in red text that describes what information is lacking in the submission. This message specifies the problematic/incomplete section. You can navigate directly to that section by clicking the corresponding tab on the local navigator.
This “checkmark” validation is also seen when you retrieve a submission from your WIP. Completed sections of the submission have checkmarks beside their tabs on the local navigator:

2. Complete submission screen for an Initial submission completed by an individual

If you have authorized an individual to complete an Initial submission using NRD, the system will perform a completeness check on the submission when the individual is satisfied with the information s/he has entered and clicks Complete submission. See How to set up an individual to complete an Initial submission in the submission illustrations for full details on this process. If the submission is complete, the system guides the individual through the process of forwarding the submission to the AFR. In order for the individual to do this, s/he should check the certification box and click Submit to Firm on the certification screen. If s/he does not yet wish to forward the submission to the firm, s/he should click the Return to Submission button to be returned to the first screen of the submission. After the individual has clicked Submit to Firm on the certification screen, the system sends the submission to the AFR’s WIP. The AFR reviews the contents and re-assigns the submission to the individual if there are items that need to be corrected or
clarified. Once the AFR is satisfied with the contents of the submission, s/he sends the submission to regulators on behalf of the individual as described below.

NOTE – Once you have sent the submission to regulators, the individual will no longer have access to the system. In the case where an individual leaves the firm before their Initial Registration submission is sent to regulators, you should delete the submission from your WIP and revoke the individual’s access to NRD by using the Revoke Access function under the Administrative Tools tab.

3. Complete submission screen for submissions to be made to regulators by an AFR

SEE Initial Registration for a full description and images of the Complete Submission screens. Whereas Complete Submission screens vary among the submission types, the common elements of the process are the acknowledgement of applicable fees and the requirement to certify as truthful the contents of the submission.

If you are an AFR and the system has accepted the completeness of your submission, a screen will appear that will provide you with the option of sending your completed submission to one or more regulators, depending on whether your submission is a single jurisdiction submission type or a multi-jurisdiction submission type. This screen displays the NRD submission number assigned to your submission. You should record this number so that you may refer to it on all written correspondence with regulators regarding your submission. In order to complete and send the submission, click Continue. If you do not wish to complete and send your submission, click Return to Task Menu and you will be returned to the task menu screen containing a list of main navigator items. Your submission is returned to your Work in Progress.

4. Submit to regulators screen

Clicking Continue will take you to a screen where you will be asked if your submission is related to a deficiency. A submission is related to a deficiency if it is a submission that is being made at the request of a regulator to correct a deficiency in your original submission or provide additional information relating to a submission that has been previously made. There are no submission fees payable in respect of submissions that are related to previous submissions. If you click Yes, you must also provide the submission number of the previous submission. Click Continue after you have clicked Yes or No, as applicable. NRD will calculate the fees, if any, that are required to be paid to regulators with your submission.

5. Submission fee summary screen

The system displays information regarding the fees payable to regulators in connection with your submission in each province and territory in which you are making your submission as well as your firm’s NRD account information. This page shows the breakdown of fees payable to the commission(s) and IDA, as applicable. NRD user fees also apply to some submissions. This screen is a printable page. In order to print a copy of the submission fee summary for your records, click Printable Page. Click Acknowledge to confirm your compliance with the fees listed.
6. **Sending to regulators**

The system displays a screen with the provinces, territories and regulators to which your submission will be sent. This screen also includes statements you must attest to by checking a certification box near the bottom of the screen. Read the information carefully, and when you are ready, check the certification box and click **Send to Regulators** to send your submission to the regulators displayed. The system sends the submission and displays your Task Menu. You can view the submission by clicking your **Sent to Regulators** tab on the main navigator.

7. **Submissions made by firms and individuals associated with firms that are IDA members**

By using NRD, you will not be required to make a submission to more than one regulator in any province or territory. If your firm is an IDA member, NRD will automatically send your submission to the appropriate regulator in each province and territory where the submission is to be made and although a submission is directed to the commission, any IDA applicable fees are automatically paid to the IDA. In provinces such as British Columbia, Alberta and Ontario, in which the IDA has been delegated the authority for registration matters by the relevant securities commission, your submission will be sent to the IDA in that province and if a submission should go to the commission(s) in those jurisdictions, it will be directed appropriately. In all other provinces and territories excluding Québec, your submission will be sent to the relevant securities regulatory authority which will then redirect that submission to the IDA for approval, if required, all without any further action on your part.

**E. Dealing with submissions after they have been sent to regulators**

1. **Review of submissions by regulators**

After a submission has been sent to regulators using NRD, those regulators will proceed to review the submission in the same manner as they would review applications and notices filed or delivered in paper format. If the submission is an application, those regulators may prepare comment letters, if necessary, and forward these letters by fax or e-mail to the AFR making the submission. These letters may require you to resubmit additional fees or to make further submissions using NRD to correct any deficiencies that may have been raised by the applicable regulators.

2. **Approval and acknowledgement of submissions by regulators**

Check your **Sent to Regulators** list to track the processing of your submission. You can view its status by opening the submission and clicking the **Submission History** tab on the local navigator. When the submission no longer appears in your “Sent to Regulators” list, you can retrieve it using the “Search” function. The **Submission History** feature shows you when and by whom the submission was processed. It is up to the regulators’ discretion to provide you with any notice outside of the system regarding the approval or acknowledgement of submissions.

3. **Terms and conditions**
A regulator may impose terms and conditions on the registration of a firm or individual. For example, these terms and conditions may include restrictions on the type of securities or derivatives in which a registrant may deal, the clients with which a registrant may trade or requirements on the part of the registrant to file additional financial reports.

Terms and conditions are indicated on NRD in the permanent record of the firm or individual and will be apparent when you view information about your firm or a particular individual associated with your firm. Your screen will indicate the effective date of the terms and conditions and may also indicate the date on which the terms and conditions must be satisfied. You may also view the details of the terms and conditions.

See Chapter 9 – Searching for and viewing information on NRD for more details on viewing terms and conditions.

4. **Withdrawing submissions**

If, for any reason, you wish to withdraw a submission after it has been sent to regulators using NRD, you may do so by contacting the applicable regulators in writing. NRD does not permit you to withdraw a submission using the system. If a regulator agrees to and finalizes your withdrawal of a submission, the status of your submission will be indicated as “Withdrawn” on the system.

To view information on a withdrawn submission, use the Search function to search that submission. Having retrieved the submission details, click **Submission History** then on the status of the submission (in this case, “Withdrawn”). You will be able to view the details of the withdrawal, as input by the regulator who dealt with the submission in question.

If you have not yet sent a submission to regulators and you wish to remove (delete) the submission from NRD, you may delete the submission from your Work in Progress list.

5. **Abandoned submissions**

If you have not responded to requests by regulators to provide additional information with respect to a submission made using NRD, such regulators may consider you to have abandoned your submission, in which case, the status of your submission will be indicated as “Abandoned” on the system.

F. **Bulk Transfer of Locations and Individuals**

If a registered firm is acquiring a large number of business locations (for example, as a result of an amalgamation or asset purchase) from one or more other registered firms that are located in the same jurisdictions and registered in the same categories as the acquiring firm, and if a significant number of individuals are associated on NRD with the locations, the regulator, will consider exempting the firms and individuals involved in the transaction from the following requirements:

(a) the requirement to submit a notice regarding the termination of each employment, partner, or agency relationship under section 4.3 of MI 33-109;

(b) the requirement to submit a notice regarding each individual who ceases to be a non-registered individual under section 5.2 of MI 33-109;
(c) the requirement to submit a registration application for each individual applying to become a registered individual under section 2.2 of MI 33-109;

(d) the requirement to submit a Form 33-109F4 for each non-registered individual under section 3.3 of MI 33-109;

(e) the requirement under section 3.1 of MI 33-109 to notify the regulator of a change to the business location information in Form 33-109F3

In order to exempt the firms and individuals involved in the transaction from the requirements set out above, the application should include the following information:

(a) the name and NRD number of the registered firm that will acquire control of the business locations;

(b) for each registered firm that is transferring control of the business locations,

(i) the name and NRD number of the registered firm;

(ii) the address and NRD number of each business location that is being transferred from the registered firm named in (b)(i) to the registered firm named in (a); and

(iii) the date that the business locations will be transferred to the registered firm named in (a)

To facilitate the processing of the exemption application, the applicant may put the information referred to in subsection (2) in the form set out in Appendix A to the Companion Policy to MI 33-109.

This exemption application should be submitted to each applicable regulator by the registered firm that will acquire control of the business locations at the closing of the transaction and should be submitted within 30 days in advance of the date on which the business locations are to be transferred.

In addition to any application fee, it is likely that the payment of a fee will be a condition of this type of exemption order and that the fee will be related to the number of registered firms, business locations, registered individuals, and non-registered individuals involved in the transaction.

If the exemption is granted, as soon as practicable after the transfer date, the regulator will instruct the NRD administrator to indicate the transfer of the business locations, the registered individuals, and the non-registered individuals on NRD.

Bulk transfers involving firms that are registered in different categories or different jurisdictions may need to take additional steps. Firms involved in such a transaction should contact the applicable regulators to discuss what steps are required to allow the firms to use the bulk transfer process described above.
CHAPTER 8 - ADMINISTRATIVE TOOLS

Chapter Outline
This chapter tells you how to use the administrative tools features of NRD to perform tasks such as changing passwords, appointing AFR administrators and AFRs, resubmitting fee payments and generating NRD reports for your records. The number of tools available depends on the AFR’s role (chief AFR, AFR administrator, or AFR).

You may access the NRD administrative tools by clicking **Admin Tools** on the main navigator. Admin Tools vary according to AFR role.

Chief AFRs and AFR administrators have the following admin tools at their disposal:

- Set Up Users
- Maintain Users
- Change Password
- Reset Password
- Revoke Access
- Resubmit Fee Payment
- Reports

The AFR has access to the following admin tools:

- Change Password
- Resubmit Fee Payment
- Reports

Each of these functions is explained below.

A. **Set Up Users**

The **Set Up Users** function is used to appoint AFR administrators and AFRs for your firm. In order to appoint a person to act as an AFR administrator or an AFR, you must be the chief AFR or an AFR administrator for your firm.

Click **Set Up Users** on the **Admin Tools** local navigator. The system displays the Set Up Users form.
There are two ways to complete this form:

**Option 1:**

If the AFR you are setting up with your firm is currently playing the same AFR role with another firm (AFR or AFR administrator), you may wish to use her/his original ID information for your own firm. If this is the case, type the AFR’s user ID in the first field and click “Save & Continue.” The system will verify that the user ID entered is valid and current and will retrieve that AFR’s name and contact information.

Click **Printable Page** at the bottom of the screen to confirm this AFR. If you do not click **Printable Page** the AFR will not be set up with your firm. If you find that this is not the correct AFR record, click **Cancel** to re-enter the AFR user ID.

When you complete this user set up, the AFR’s original user ID and password are not altered. Therefore, no new password is generated on the confirmation page.

After your successful set-up, when the AFR logs in to NRD, s/he will be presented with a **Firm List** of all the firms with which s/he is associated under this user ID, including your firm. To proceed to the Task Menu, the AFR selects a firm from the list. A link to the **Firm List** also appears on the AFR’s Global Navigator. This enables the AFR to switch from one firm to another without logging out of the system.
AFRs associated with only one firm are not presented with a **Firm List**.

### Firm List

<table>
<thead>
<tr>
<th>NRD No.</th>
<th>Name of Firm</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>9040</td>
<td><strong>ARROWSTREET CAPITAL LIMITED PARTNERSHIP</strong></td>
<td>Active</td>
</tr>
<tr>
<td>19750</td>
<td><strong>Société canadienne d'investissement</strong></td>
<td>Active</td>
</tr>
</tbody>
</table>

**Option 2:**

If you wish to set up an AFR that is new to the system and to your firm, enter the name and contact information of the individual in the appropriate fields. Select **AFR** or **AFR Administrator** from the Role drop-down list.

When you are ready, click **Save & Continue** at the bottom of your screen. The system validates the data entered and displays a confirmation page with the name, contact information, user ID and password of the new AFR, along with the firm, firm NRD number, and the AFR role. The user ID and password are generated by the system.
Click the **Printable Page** button at the bottom of the screen to confirm the new AFR record. If you need to correct any data on the confirmation page, click the **Cancel** button, and re-input information regarding the new AFR. If you do not click **Printable Page**, the system will not save the record of the new AFR, and the login information generated on the screen will not be valid.

You may choose to print this page and forward it to the new AFR in some secure fashion, as it provides that new AFR with her/his login information. The new AFR is not activated until s/he logs in for the first time and changes her/his password.

Once you have clicked **Printable Page**, the AFR’s record is saved on the system, and any changes to that AFR’s name or contact information must be made using the **Maintain User** admin tool function.

### B. Maintain Users

The **Maintain Users** function is used to change the system’s record of the name and contact information of an AFR. This function should only be used for existing AFRs. If you are replacing an existing AFR with a new person, use the **Set Up Users** function for the new AFR and use the **Revoke Access** function for the AFR who has been replaced.

Click **Maintain Users** on the **Admin Tools** local navigator. The system displays a field in which to type the user ID of the AFR whose information you wish to change in the system. The system verifies the user ID and retrieves the corresponding individual information. You cannot use the
Maintain Users function on AFRs who are not yet activated (i.e., they haven’t logged in for the first time yet) or who are locked out.

Confirm that you have retrieved the record for the correct individual and make your changes as appropriate. The AFR role is not editable. AFR administrators cannot change the user information of the chief AFR.

Click Save & Continue to save your changes. The system validates and saves your changes and returns you to the task menu.

C. Change Password

The Change Password function is used to change your own password for NRD purposes.

Click Change Password on the local navigator. The system displays a field in which to enter your current password and your new password. You must enter your new password twice. For added security, the system will not allow you to change your password to any of your last five passwords. Click Continue to save your new password in the system. The system will confirm a successful password change.
D. Reset Password

A chief AFR or an AFR administrator uses the **Reset Password** function to change the password of another AFR administrator or AFR. This may be necessary, for instance, if an AFR administrator or AFR is locked out of the system as a result of having three unsuccessful login attempts. An AFR administrator cannot reset a chief AFR’s password. Contact the NRD administrator to reset a chief AFR’s password. The chief AFR must also provide their PIN to the NRD administrator to have their password reset.

When you click **Reset Password**, the system displays a field in which to enter the user ID of the person whose password is to be reset. Enter the user ID and click **Continue**. The system verifies the user ID and retrieves the name and role of the person whose password is to be reset. Confirm that you have retrieved the correct record and click **Continue**. The system generates a new password for this individual, displayed on a confirmation page. It is advisable to print this page and forward it to the AFR in some secure manner. The AFR will login using her/his new password, and then will be required to change the password, in the same way an AFR logs in for the first time.
E. **Revoke Access**

A chief AFR or an AFR administrator uses the **Revoke Access** function to revoke NRD access of an AFR administrator or an AFR. You may not revoke the access of a chief AFR using NRD. This function may only be performed by the NRD administrator.

Click **Revoke Access** on the local navigator. The system displays a field in which to enter the user ID of the person whose access to NRD is to be revoked. Enter the user ID and click **Continue**. The system verifies the user ID and retrieves the name and role of the person whose access is to be revoked. Confirm that you have retrieved the correct record and click **Continue** to confirm the revocation. If you wish to appoint this person as an AFR administrator or an AFR for your firm in the future, you will need to perform the **Set Up Users** function.

**TIP** – If you are wish to revoke the access of an AFR who has outstanding submissions, you must [re-assign](#) the submissions to another AFR before revoking the access.
F. Resubmit Fee Payment

The **Resubmit Fee Payment** function is used to submit fees through NRD to correct a default payment or to remit additional funds that may be required in connection with a submission, user fee or an annual registration of a firm, or payment of late filing fees related to terminations. When you select “Correct default EFT payment”, the system will display a full list of default payments (if any) to be made. To complete this function, you must confirm payment of all default payments at once; you are not permitted to pay them individually.

Click **Resubmit Fee Payment** on the local navigator. The system displays two types of fee resubmission. Select either “Correct default EFT payment” or “Resubmit additional funds directly related to a submission or annual fee renewal”, and click **Continue**. When you have completed the procedure and confirmed your fee resubmission(s), the system will display a confirmation message. The system will debit your NRD account only after you have confirmed and authorized the amount shown.

You may be required to use the **Resubmit Fee Payment** function to pay late filing fees related to termination submissions to the regulators. The regulator will notify you of this requirement.

G. Reports

The **Reports** function on NRD is used to generate various reports on the NRD records for your firm. These reports may be printed or saved for your records. It is also advisable to print out your criteria page before generating a report. Reports are generated based on the criteria you stipulate.
If no information is retrieved for your desired report, the system will display a message in red text advising that no results were found. In that event, you may redefine your report criteria. Reconciliation reports (by EFT and by Submission) are available in Microsoft Excel, PDF and CSV formats. Viewing PDF documents requires Adobe Acrobat Reader. The other report types are generated in PDF format. These reports are:

- List Registrants Report
- List AFRs Report
- Progress Report on Submission for Individuals Included in Data Transfer
- Permanent Record Report for an Individual Registrant

NOTE – Recent changes made to your firm’s records on NRD (EFTs, firm or individual submissions, statuses of AFRs, individual registrants, etc.) may not be reflected on reports. Changes made to NRD on a given day are updated to the reports database that night.

EXAMPLE:

- The status of an individual registrant with your firm is changed from “Active” to “Suspended” on the system.
- The same day, you generate a List Registrants Report that includes that registrant in the report criteria. The status of the individual still displays as “Active”. The change is not yet reflected in the report.
- The next day, you generate a report using the same criteria. The individual’s current status is now listed as “Suspended.”

1. **Reconciliation report by submission**

A reconciliation report by submission is a listing of submissions made by your firm that shows the amount of fees paid in respect of submissions and the status of those payments.
This report is a tool for reconciling your firm’s NRD account statements to NRD’s fee payment records. You may generate a Report by Submission based on the following criteria: submission type; fee submission date; and fee status.

When you are ready, click **Generate Report**. If the chosen criteria produce results, the system displays a message advising you that the report is being generated. When the report is ready, the system launches the report in the format you selected and a pop-up message appears.

If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Excel window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the new window and select “Save as”. You may rename and store the file as appropriate.

The Report by Submission arranges data as follows:

- Submission: NRD Number; Type
- NRD Number and Name of Firm or Individual to whom the submission pertains
- AFR who made the submission to regulators thereby authorizing the EFT
- Fee Submission: Date; Payment Type; Record Type (C = Credit, D = Debit); Amount and Status (Created, Exchanged, Paid, Returned, Rejected)
- EFT Identifier Number
- EFT Process Date
2. **Reconciliation report by EFT (electronic funds transfer)**

A reconciliation report by EFT is a listing of electronic funds transfers from your firm’s designated account that shows the amounts debited from that account over a period of time. Like the reconciliation report by submission, this report is a tool for reconciling your firm’s designated account statements to NRD’s fee payment records.

The only required criterion for this report is the value date range. You may also use the following criteria to generate a report: EFT identifier number; EFT Status; and the regulator to whom the EFT was made.

![Generate Reconciliation Report by EFT](image)

When you are ready, click “Generate Report.” If the chosen criteria produce results, the system displays a message advising you that the report is being generated. When the report is ready, the system launches the report in the format you selected and a pop-up message appears.

If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Excel window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the Excel window and select “Save as”. You may rename and store the file as appropriate.
The EFT report arranges data as follows:

- EFT: Identifier Number; Value Date; Amount; Status; Record Type (C = Credit, D = Debit)
- Firm: NRD Number; Name
- Submission: NRD Number; Type; Amount; Submission Date; Submission Fee Status; Status Date
- regulator to which the EFT was credited

3. **List Registrants report**

The List Registrants report lists individuals associated with your firm, according to selected criteria. Report criteria available include:

- NRD number of individual
- Individual’s name
- Registration status of individual:
  - Active
  - Suspended (Regulatory Action - Individual)
  - Suspended (Regulatory Action - Firm)
  - Suspended (Pending Employment Termination)
  - Suspended (Employment Termination)
  - Suspended (Surrender)
  - Suspended (Bulk Annual Fee Exclusion)
  - Suspended (Bulk Transfer)
  - Terminated (Regulatory Action - Individual)
  - Terminated (Regulatory Action - Firm)
- NRD number of individual’s business location
- provinces and territories of registration
- individual categories

There are two stages to establishing the criteria for this report. In the first stage, you may specify the following criteria:

- Employment Location NRD number (branch number)
- Jurisdiction (defaults to All jurisdictions in which the firm is registered)
In the second stage, you may specify the following criteria:

- Registration status of individual registrants
- Firm registration categories
- Individual categories

If you wish to list all the registrants in your firm, check the “All” status checkbox, and check the “All” categories checkbox. If these two are checked, no matter what more specific selections you make further down the screen, the system will generate a report on all registrants.
The system sorts your criteria from “top to bottom”. If you wish to be more specific, do not check the “All” box. Find the specific categories for which you wish to retrieve data. Firm categories are in bold text, and the individual categories that fall under the firm category are indented and in regular text. If you select a firm category AND an individual category within that firm category, the system will ignore your individual category selection and simply retrieve data for all the individuals who fall under the selected firm category, regardless of their individual categories. So, if you wish to retrieve data pertaining to a specific individual category, select that category, but do not select the firm category under which it falls.

TIP – Once you are satisfied with your criteria, you may wish to print this screen by using the Print command on your browser’s File menu. The criteria will not be listed as such on your report.

When you are ready, click Generate Report at the bottom of the screen. If the chosen criteria produce results, the system displays a message advising you that the report is being generated. When the report is ready, the system launches Acrobat Reader and a pop-up message appears.

If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Acrobat window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the Acrobat window and select “Save a Copy.” You may rename and store the file as appropriate.

The List Registrants report arranges data as follows:

- Individual: NRD Number; Last Name; First Name; Second Name; Employment Location NRD Number
- Registration Information: Jurisdiction; Status; Firm Registration Category; Individual Category

4. **List AFRs report**

The List AFRs report lists information with respect to the AFRs associated with your firm. You may generate a List AFRs report without specifying any criteria. This will produce a report of all your firm’s AFRs. You may also generate a report according to the following criteria:

- AFR Status
- AFR Role
- AFR Name
When you are ready, click **Generate Report**. If the chosen criteria produce results, the system displays a message advising you that the report is being generated. When the report is ready, the system launches Acrobat Reader and a pop-up message appears.

If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Acrobat window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the Acrobat window and select “Save a Copy.” You may rename and store the file as appropriate.

The List AFRs report arranges data as follows:

- AFR’s Name: Last Name; First Name; Second Name; Third Name
- Contact Info: Email; Telephone
- User ID
- Status
- Role

### 5. Generate Progress Report on Submission for Individuals Included in Data Transfer

This report type allows you to view the status of submissions for individuals included in the Data Transfer. You may select any or all of the following optional criteria to generate your report:

- Employment Location NRD number
- Jurisdiction
- Submission Status (Not Started, Work In Progress, Completed, defaults to All)
Select the desired criteria and when you are ready, click **Generate Report**. If the chosen criteria produce results, the system displays a message advising you that the report is being generated. When the report is ready, the system launches Acrobat Reader and a pop-up message appears.

If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Acrobat window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the Acrobat window and select “Save a Copy.” You may rename and store the file as appropriate.

6. **Generate Permanent Record Report for an Individual Registrant**

   Use this report to generate a copy of an Individual’s permanent record. Enter the individual’s NRD number and when you are ready, click **Generate Report**. If the criteria is valid, the system displays a message advising you that the report is being generated. When the report is ready, the system launches Acrobat Reader and a pop-up message appears.

   If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will immediately display the report in the Acrobat window. Here you can view and print the report. To save it on your own system, click “File” in the upper left corner of the Acrobat window and select “Save a Copy.” You may rename and store the file as appropriate.
corner of the Acrobat window and select “Save a Copy.” You may rename and store the file as appropriate.

7. **Recall Report by Number**

Every report generated by NRD receives a report number. You may recall any of your reports with the **Recall Report by Number** function on the Reports Menu, up to seven days after it was first generated. After this period, the report is no longer available on the system. Of course, should your report expire before you have the chance to save it on your own system, you can generate a new report using the same criteria. However, your purposes for the report may be date-sensitive. Therefore, it is best to save the report on your own system as soon as it is generated.

If the report is large or if the system is extremely busy, you may receive a message that provides a report number. Record that number and use the **Recall Report by Number** function at a later time, but before the 7-day period ends.

![Recall Report by Number Interface]

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**Report No.: 7243**

Your report has been scheduled successfully but is not ready for retrieval. Record our Report No. “7243” and return later to retrieve your report.

![Retrieve Report by Report No. Interface]

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**Retrieve Report by Report No.**

Enter your Report No. in the text box below to retrieve your report:

Report No.: 7243

[Retrieve Report] [Reset]
CHAPTER 9 - SEARCHING FOR AND VIEWING INFORMATION ON NRD

Chapter Outline
This chapter tells you how to search for and view registration information on NRD and describes the type of information you may search for and view.

A. The Search function

The NRD Search function allows you to find a specific individual associated with your firm, a submission prepared by an AFR for your firm or a business location of your firm. The Search function provides detailed information about an individual, submission or location, including NRD numbers. Viewing information is explained later in this chapter.

B. How to search the system

Once you have logged in to the system, click Search on the main navigator or task menu. The system displays four search types. Click the hyperlink of the search type you wish to execute.

1. Search criteria

You will notice that on the Firm and Individual Submission search forms, you can select “Current” or “All” as a criterion. A “Current” submission is one that has at least been sent to regulators, which may be in the process of being or which has been approved and/or acknowledged by regulators. Select “All” if you also want to include in your search submissions that are still in WIP or that have been disposed by regulators as “Abandoned”, “Withdrawn” or “Denied”.

The Individual search form:
The Firm Submission search form:

The Individual Submission search form:
Search for Individual Submission

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

Submission:  
Status:  
Last Name:  
First Name:  
Second Name:  
Third Name:  
Individual NRD No.:  
Submission No.:  
Submission Type:  
Date:  
From: / (YYYY/MM)  
To: / (YYYY/MM)  
AFR User ID:  
Securities Regulatory Authority/Self-Regulatory Organization:  

Search for Location

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

NRD No.:  
OR
Address Contains:  
City:  
Province/Territory:  
Type of Location:  
NRD No. of Branch Manager:  

2. Search results
Complete the appropriate form and click **Search**. The system executes a search based on your criteria, and displays a list of any results found:

<table>
<thead>
<tr>
<th>Individual NRD No.</th>
<th>Name of Individual</th>
<th>Firm NRD No.</th>
<th>Name of Firm</th>
<th>Submission Type</th>
<th>Submission No.</th>
<th>Submission Date Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td>006271</td>
<td>Bonhomme, Lucien</td>
<td>20240</td>
<td>Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.</td>
<td>Initial Registration</td>
<td>20036469</td>
<td>2003/02/07</td>
</tr>
<tr>
<td>000031</td>
<td>Boucher, Jocelyne</td>
<td>20240</td>
<td>Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.</td>
<td>Apply for an Exemption</td>
<td>20036807</td>
<td>2003/02/07</td>
</tr>
</tbody>
</table>

The search results are displayed 10 items per page. If the results exceed 10 items, navigate among search result pages by using the **Next 10** and **Previous 10** buttons, located at the bottom of the search results page:

If the number of search results exceeds 200, you will receive an error message instructing you to narrow your search criteria.

3. **Hyperlinks for viewing information**

To view the details of a particular search result, click the hyperlinked portion of that search result. The hyperlink will be the last name of an Individual, the submission type of a Firm or Individual submission, and the NRD number of a Location.

C. **Viewing information on NRD**

You may view information on NRD regarding your firm, individuals associated with your firm, firm and individual submissions made by AFRs for your firm and locations of your firm along with historical data associated with any of these.

1. **Individual information – Permanent Record**

NRD allows you to view an individual’s current and historical Form 33-109F4 information. This information consists of the following:

(a) **Name (Item 1 of Form 33-109F4)**

The full legal name of the individual and information regarding other names used by the individual.
(b) **Residential Address (Item 2 of Form 33-109F4)**

The individual’s residential address information for the past 10 years and current residential telephone number.

(c) **Personal Information (Item 3 of Form 33-109F4)**

The individual’s date and place of birth and personal description information.

(d) **Citizenship (Item 4 of Form 33-109F4)**

Citizenship information and, if the individual is not a Canadian citizen, passport information.

(e) **Registration Jurisdictions (Item 5 of Form 33-109F4)**

The provinces and territories in which the individual is registered.

(f) **Individual Categories (Item 6 of Form 33-109F4)**

The categories in which the individual is registered in a particular province or territory other than Québec, and IDA approval categories if applicable, the effective date of registration and the registration status of the individual. This includes categories of registration and categories for non-registered individuals, as well as the current and historical status of the individual in that jurisdiction. The existing statuses for individual are listed below.

- Active
- Suspended (Regulatory Action - Individual)
  - This status applies to an individual when the regulator has suspended the individual for regulatory violations.
- Suspended (Regulatory Action - Firm)
  - This status applies to an individual when the regulator has suspended the individual's sponsoring firm for regulatory violations.
- Suspended (Pending Employment Termination)
  - This status applies to an individual when the transfer of the individual's registration to another firm has been approved by the Regulator and a Notice of Termination with the previous firm has not been submitted and/or approved by the regulator.
- Suspended (Employment Termination)
  - The status of Suspended (Employment Termination) is given when an individual has terminated employment with their sponsoring firm.
- Suspended (Surrender)
  - This status applies to an individual who has surrendered their categories of registration in the jurisdiction but remain registered in another jurisdiction.
Suspended (Bulk Annual Fee Exclusion)
- The status of Suspended (Annual Fee Exclusion) is given to an individual identified as not renewing their registration by the sponsoring firm including them in the Annual Fee Exclusion submission. This status is given on December 31st. The sponsoring firm must either file the Change or Surrender of Individual Categories or the Notice of Termination for an individual with this status if not already submitted.

Suspended (Bulk Transfer)
- This status applies to an individual who has surrendered all individual categories in a given jurisdiction.

Terminated (Regulatory Action - Individual)
- This status applies to an individual when the regulator has terminated a firm for either regulatory violations or the firm has requested their registration to be terminated.

Terminated (Regulatory Action - Firm)
- This status is given when the regulator has terminated the individual’s registration for regulatory violations.

Terms and Conditions (Item 6 of Form 33-109F4)
- Details of the terms and conditions imposed by regulators by jurisdiction on the registration of the individual. This is not a required item to be completed by the AFR when completing the Initial Individual submission. Terms and Conditions are applied by the regulator.

Address and Agent for Service (Item 7 of Form 33-109F4)
- The address and name of the individual’s agent for service in a particular province or territory.

Proficiency (Item 8 of Form 33-109F4)
- Industry courses or examinations successfully completed or from which exemptions were granted, the date of completion or exemption, student numbers and details of exemptions or exemption refusals.

Location of Employment (Item 9 of Form 33-109F4)
- Business location where the individual will be doing most of her/his business.

Current Employment (Item 10 of Form 33-109F4)
- Details of current employment with sponsoring firm, and including information regarding other business activities or employment for gain.

Previous Employment (Item 11 of Form 33-109F4)
Details of previous employment, including name and address of employers and name and title of immediate supervisors.

(m) **Resignations and Terminations (Item 12 of Form 33-109F4)**

Information regarding previous resignations and terminations with other firms, and whether there was a termination for cause.

(n) **Regulatory Disclosure (Item 13 of Form 33-109F4)**

The individual’s answers to the regulatory disclosure questions under the headings “Securities regulatory authority”, “Self-regulatory organizations” and “Non-securities regulation” set out under item 13 of Form 33-109F4.

(o) **Criminal Disclosure (Item 14 of Form 33-109F4)**

The individual’s answers to the criminal disclosure questions under the heading “Criminal, provincial and territorial offences” set out under item 14 of Form 33-109F4.

(p) **Civil Disclosure (Item 15 of Form 33-109F4)**

The individual’s answers to the civil disclosure questions under the heading “Civil Disclosure” set out under item 15 of Form 33-109F4.

(q) **Financial Disclosure (Item 16 of Form 33-109F4)**

The individual’s answers to the financial disclosure questions under the headings “Bankruptcy”, “Debt Obligations”, “Surety bond or fidelity bond” and “Garnishments, unsatisfied judgements or directions to pay” set out under item 16 of Form 33-109F4.

(r) **Related Securities Firms (Item 17 of Form 33-109F4)**

The individual’s answers to the related securities firms disclosure questions under the heading “Related securities firms and holdings” set out under item 17 of Form 33-109F4.
To view an individual’s permanent record, perform a search for the individual in question. Select that individual from your search results by clicking her/his last name. The system retrieves the individual’s permanent record. The record is displayed in much the same way it was first input when your firm performed the Initial Registration for this individual. This is a read-only view. To make changes to the Individual’s permanent record, you must prepare the appropriate Individual Submission.

NRD allows you to view the Individual’s current Form 33-109F4 information, as well as any previous changes made to the permanent record by your firm’s AFRs or by the regulators (e.g.: Terms and Conditions).

Click the local navigator to view any item.

To view the historical information for any item on the permanent record, click the yellow View History button that appears near the upper right of the screen for that item. In this example, we will view the historical information for Item 1 – Name.
This individual has one previous legal name recorded in her history. To view the details of this record, click the previous name hyperlink. The system displays the details of the record.

The current and past registration statuses of the individual with your firm may be viewed for every jurisdiction in which s/he is registered. This information is under the **Registration Jurisdictions** tab on the local navigator. Click this tab and select a province or territory to view the individual’s status and individual categories in that jurisdiction. Each individual category has an effective date.

If the **individual’s status** in this jurisdiction has changed, that information is listed at the bottom of the screen, and you may follow a hyperlink for further details on the past statuses.
For the “Disclosure” items (Regulatory, Criminal, Civil and Financial), any past disclosure is displayed as follows: Instead of a View History button, previous disclosure is displayed in full, beginning with the most recent effective date.

NOTE – Any submissions you may have made to change information on the permanent record will not be reflected until the regulator has accepted the submission.

2. Firm and individual submissions

NRD allows you to view details of a submission that you have previously sent to regulators. You may also view the details of any submission made by an AFR for your
firm. In order to view the details of a submission, perform a search for the firm or individual submission. If you created the submission and sent it to regulators, you may view the submission in your Sent to Regulators list, if the submission has not been processed yet.

When you have retrieved the submission, you may navigate through the entire document. However, you will not be able to edit the submission. You may only edit WIP submissions that have been assigned to you or that you created and have not re-assigned to anyone else. If you wish to edit a submission that is still in your WIP, retrieve it directly from your Work In Progress list and not from the Search function.

At the bottom of the local navigator is a yellow tab labelled Submission History. This feature shows the record of the submission’s creation, submission and disposition. It lists by whom, when and to what regulator(s) the submission is sent, and its current status in any pertinent jurisdiction. Also, applicable submission fees are listed along with their status record:
If the submission is still in your Sent to Regulators list, you may view the submission details there as well. This is an easy way to track the status of your submission while you are awaiting disposition by the regulator. Retrieve the submission from the Sent to Regulators list and use the local navigator, which includes a Submission History button on the local navigator, to view the submission details.

Any submission retrieved from Sent to Regulators is read-only and cannot be edited.

3. Location information

There are two ways to view details on firm locations. One way is to perform a search on the location, and the other is to view the information under Firm Information on the main navigator: location information is available under Head Office as well as Other Locations. These sections include current and historical information about your firm’s head office, branches and sub-branches.

For Other Locations, the screen displays the jurisdictions and then cities in the selected jurisdiction where there are active branches or sub-branches. Click a city to view its active locations.
Click the yellow Closed Locations button to view a list of cities where there are closed branches or sub-branches. Click a city to view its closed locations. When you retrieve the record of any location you can also view any historical information regarding branch managers or address/contact information changes.

4. Firm information – Permanent Record

To view current and historical information on your firm click the Firm Information tab on the main navigator. Use the local navigator to view details of your firm’s permanent record.

(a) Legal Name

This section includes your firm’s current legal name. Previous legal names can be viewed by clicking the yellow View History button near the upper right of the screen.
(b) **Other Business Names**

This section displays any business names other than your firm’s Legal Name used by the firm. Click *View History* to view previously used Other Business Names.

(c) **Head Office**

This section displays any Compliance Officer Information along with the address and contact information for your firm’s Head Office. Click *View History* near the upper right of the screen to view previous Head Office information. Head Office history is divided into two categories – Compliance Officer history and Business Address history.
(d) **Registration Categories**

This section displays your firm’s registration categories by jurisdiction, as well as the current and previous status of your firm, in each of its jurisdictions. Click a province/territory to view your firm’s registration information in that jurisdiction. This information includes current and historical status in the selected jurisdiction, as well as regulatory actions:

- **Active**
- **Suspended (Regulatory Action - Firm)**
  - This status applies to a firm that has been suspended by the regulator in the selected jurisdiction.
- **Terminated (Regulatory Action - Firm)**
  - This status applies to a firm that has been suspended by the regulator in the selected jurisdiction.
If regulators have applied **Terms and Conditions** to your firm in this jurisdiction, a message in red will advise you of this near the top of the screen.

### Registration Categories - British Columbia

<table>
<thead>
<tr>
<th>Registration Categories</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Portfolio Manager and Investment Counsel (Securities and Exchange Contracts)</td>
<td>2003/02/07</td>
</tr>
</tbody>
</table>

**Current Status**

Status: Active

**History**

Historical information does not exist for this item.

---

(e) **Terms and Conditions**

The first page of this section displays a list of Terms and Conditions applied to your firm in the selected jurisdiction. Click the name of the Term/Condition to view details. These details include the regulator who applied the Terms and Conditions, the specifics of the Terms and Conditions, and the date by which they must be met.

Click the View History button near the upper right of the screen to view Terms and Conditions that have been removed from your firm in the selected jurisdiction.
(f) **Other Locations**

See Section 3 of this chapter – Location Information.

(g) **Annual Fee Summary**

Under applicable securities and/or commodity futures legislation, firms must pay annual registration fees to regulators in provinces and territories other than Québec in which they are registered and to the IDA if applicable to maintain registration. The preliminary annual fee summary is generated on December 1. On December 31 of each year, NRD generates the final annual fee summary. This serves as notice to the firm that “x” amount was debited from the firm’s NRD account for renewal of registration or payment of fees in support of permanent registration. These summaries can be viewed under Annual Fee Summary.

This summary lists fees by jurisdiction, firm and individual category. The summary ends with the NRD user fee and GST calculation, and the grand total for the firm’s annual fees:

Click the View History button near the upper right of the screen to view historical information on your firm’s preliminary and final fee summaries.
## Annual Fee Summary Information

Click on Date Generated to view its information.

<table>
<thead>
<tr>
<th>Date Generated</th>
<th>Year</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003/02/18</td>
<td>2002</td>
<td>Preliminary Annual Fee Notice</td>
</tr>
<tr>
<td>2003/02/17</td>
<td>2001</td>
<td>Final Annual Fee Notice</td>
</tr>
<tr>
<td>2003/02/13</td>
<td>2001</td>
<td>Preliminary Annual Fee Notice</td>
</tr>
<tr>
<td>2003/02/07</td>
<td>1999</td>
<td>Final Annual Fee Notice</td>
</tr>
<tr>
<td>2003/02/06</td>
<td>1999</td>
<td>Preliminary Annual Fee Notice</td>
</tr>
</tbody>
</table>
GLOSSARY

annual registration fees – fees payable to regulators in provinces and territories other than Québec in which a firm and its associated individuals are registered, in order for the firm to maintain its registration;

assigned – the NRD term used to describe submissions that an AFR has access to on the system. A submission will be assigned to an AFR if that AFR commences the preparation of that submission on NRD on behalf of a firm or an individual or if the chief AFR or an AFR administrator for that firm assigns that submission to the AFR.

associated – the term used to describe an individual that is registered with your firm or that was otherwise required to submit registration information to regulators as a condition of your firm’s registration;

authorized firm representative or AFR – a person acting as an authorized firm representative for a firm who is not a chief authorized firm representative or authorized firm representative administrator for the firm. This person has access to the system for the purposes of performing the basic functions of an authorized firm representative for a firm, namely making submissions on behalf of the firm and individuals associated with the firm and searching for and viewing information on NRD, and authorizing payments from the firm’s NRD account;

authorized firm representative administrator or AFR administrator – an authorized firm representative that, like a chief AFR, has an enhanced level of access to the system. An AFR administrator is functionally equivalent to a chief AFR, except that an AFR administrator may not revoke a chief AFR’s access to the system, reset her/his password or alter her/his profile information using the “Maintain Users” function;

branch – a location of your firm, other than your firm’s head office in a province or territory, that is supervised by a branch manager that is normally present at the location;

branch manager – If a registered dealer or adviser operates a branch office the registered dealer or adviser shall designate an individual as the branch manager of the branch. If there is more than one branch manager, Form 33-109F4 is required for each additional individual. The individual must identify “Branch Manager” as a registration category, and must select for location of employment the branch where they are acting as a branch manager;

business location – the NRD term for a place of business occupied by your firm at a particular address in a province or territory of Canada, not including Québec. A business location must be either a branch or a sub-branch. Throughout this manual a business location will often be referred to simply as a location.
chief authorized firm representative or chief AFR – an authorized firm representative that has accepted a firm’s appointment to act as that firm’s highest-ranking authorized firm representative. This person has an enhanced level of access to the system and, in addition to being able to perform all the functions of an AFR, is able to perform additional functions that may not be performed by an AFR;

compliance officer – the person responsible for overseeing the firm’s activities on a national basis. Compliance officer information can be found on NRD under Firm Information – Head Office;

electronic funds transfer or EFT – the service that automatically transmits the electronic pre-authorized debits and credits electronically from NRD account to the applicable payees (regulators, IDA, or NRD administrator);

electronic pre-authorized debit – a debit of funds from your firm’s NRD account to the credit of one or more authorized payees, including the regulators in each province and territory of Canada other than Québec, the Investment Dealers Association of Canada, and the NRD administrator;

firms – dealers, advisers and underwriters registered or applying for registration under securities or commodity futures legislation in Canada;

global navigator – the NRD global navigator consisting of several hyperlinks in the upper right hand corner of each screen in NRD, namely Privacy Statement, Help, English or Français and Logout. If you are an AFR for more than one firm and using a single user ID, Firm List will also appear as a choice in the global navigator;

individuals – registered individuals, individuals seeking registration and non-registered individuals;

jurisdiction – unless otherwise stated, for the purposes of NRD, a participating Canadian province or territory. The jurisdictions participating in NRD include all Canada’s provinces and territories except Québec;

local navigator – the NRD navigator consisting of a list of items appearing on the left side of your screen when you click certain item in the main navigator. These lists contain different items that vary depending on what item you have selected from the main navigator. The local navigator allows you to choose a specific task that you wish to perform in NRD or navigate within a submission on which you are working;

location – see business location;

main navigator – a navigation bar that runs across the top of each NRD screen. The links on this navigator are reproduced as text hyperlinks at the bottom of each NRD screen. Click these links to execute the various functions available to you on NRD;

multi-jurisdiction submission types – submission types that may or will be made in more than one province or territory using NRD (e.g. submission to change an individual’s citizenship);
**multilateral instruments** – Multilateral Instrument 31-102 *National Registration Database*; and Multilateral Instrument 33-109 *Registration Information*;

**National Registration Database, NRD or the system** – the electronic database containing registration information for dealers, advisers, underwriters and individuals registered under securities or commodity futures legislation in Canada or who are otherwise required by such legislation to submit registration information to regulators. NRD is also the system used by firms and individuals to electronically submit certain applications, notices and other registration information to regulators;

**NRD account** – the account designated by your firm from which submission fees, annual registration fees and NRD user fees will be paid with respect to NRD by electronic pre-authorized debit;

**NRD administrator** – The NRD administrator is CDS INC., or a successor appointed by the regulators, the legal entity responsible for the operation of NRD;

**NRD number** – a unique number assigned by the system in order to identify an firm, individual, business location or submission in NRD;

**NRD submission** – the NRD term for registration-related information that is prepared and submitted to regulators under Canadian securities legislation, commodity futures legislation or IDA requirements using NRD. NRD submissions are the NRD equivalent of the forms and other documents that registrants filed or delivered in paper format prior to the coming into force of the registration instruments. Throughout this manual NRD submissions are often referred to simply as *submissions*;

**NRD user fees** – fees payable by your firm to the NRD administrator annually in connection with the use of NRD and also fees payable with some submissions;

**non-registered individuals** - individuals who are not registered to trade or advise on behalf of a firm and who are directors, partners, officers of a firm are referred to as *non-registered individuals*. In British Columbia, Alberta and Ontario, holders of 10% or more of the voting securities of a firm are also referred to as non-registered individuals;

**participating regulators** – general term that includes both the Canadian Securities Administrators and the Investment Dealers Association of Canada.

**password** – a combination of 6 to 20 characters, initially generated by NRD for each AFR using the system in order to control access to NRD. A password permits an AFR to access the system, and is personalized by the AFR after his/her first login. A password must have 6-20 alpha-numeric characters, must begin and end with a letter, and may have no special characters (spaces, punctuation marks, etc.);

**permanent record** – the current and historical record of information in NRD for a firm or individual;
PIN, or **Personal Identification Number** – a series of 4 to 6 numbers used by the chief AFR to log in to NRD for the first time. Unlike the **user ID** and **password**, the PIN is not system-generated. Therefore, the chief AFR may select her/his own PIN on the Enrolment of Firm Filer form which s/he forwards to the NRD administrator who sets up the chief AFR’s login information;

**provinces and territories** – unless otherwise stated, for the purposes of NRD, each of the provinces and territories of Canada, not including Québec. These are also referred to as **jurisdictions**;

**re-assign** – action taken on a submission by a chief AFR or AFR administrator to take the submission from one AFR’s WIP to another’s. The “Re-assign” command is available to the AFR on the local navigator of the submission in question. A submission can also be re-assigned by an AFR to an individual whom the AFR has authorized to access the system to complete a submission;

**registered individuals** - individuals who are registered to trade or advise on behalf of a registered firm;

**regulators** – provincial and territorial securities regulatory authorities (not including Québec) and the Investment Dealers Association of Canada (IDA);

**registration instruments** – collectively, the multilateral instruments and Ontario and Manitoba Rule 33-506 - *(Commodity Futures Legislation)* Registration Information;

**set-up** – the NRD administrator’s input on NRD of initial information about your firm; the enrolment of a firm on NRD; this also refers to the establishing of AFR users on the system: the act of providing a user ID and password to a person in order to give that person access to NRD as a chief AFR, AFR administrator or an AFR for a firm;

**single jurisdiction submission types** – submission types that are only appropriately made in one province or territory (e.g. submission to change a branch’s location information);

**sub-branch** – a location of your firm, other than your firm’s head office or branch in a province or territory, that is supervised by a supervisor that is working out of another location;

**submission** – see **NRD submission**;

**submission fees** – fees prescribed by applicable securities or commodity futures legislation and/or required under IDA by-laws in each province and territory of Canada in connection with submissions;

**submission type** – on NRD, submission types are displayed as forms presented on a screen or a series of screens that the AFR completes in a standard form for a particular purpose;
**submit** – the term for delivering or filing a submission to regulators electronically using NRD. To avoid awkward phrasing (e.g. “to submit submissions”), this manual also uses alternate phrasing depending on the context (e.g. to make a submission, to send a submission to regulators);

**user ID** – a unique combination of numbers and letters that is generated by NRD for each AFR using the system. A user ID identifies an AFR on the system;

**work in progress** – a submission that has been prepared to some extent in NRD that has not yet been sent to regulators.
SUBMISSION ILLUSTRATIONS

Firm Submissions

Preliminary Screens for Firm Submissions
Open a Location
Location Address Information Change
Close a Location
Branch Manager Change
Annual Fee Exclusion
Location Status Change

Individual Submissions

Preliminary Screens for Individual Submissions
How to set up an individual to complete an Initial submission

Individual Submissions – Initial
Initial Registration
Transfer of Registration
Registration with an Additional Sponsoring Firm
Registration in an Additional Jurisdiction
Reactivation of Registration

Individual Submissions - Amendments
Change or Surrender of Individual Categories
Apply for an Exemption

Individual Submissions – Notices
Notice of Termination
Individual Name Change
Residential Address Change
Personal Information Change
Citizenship Information Change
Address and Agent for Service Change
Proficiency Information Change
Exemption Refusal Information Change
Employment Location Change
Current Employment Change
Regulatory Disclosure Change
Criminal Disclosure Change
Civil Disclosure Change
Financial Disclosure Change
Related Securities Firms Change
A. Firm Submissions

**Preliminary Screens:**

Once you are logged in to the system, click **Firm Submission** on the main navigator or on the Task Menu:

Select the desired notice type by clicking on the hyperlink for that type. For every firm notice type, the system presents a list of jurisdictions in which your firm is registered (Active or Suspended). This screen also indicates the firm notice type you are initiating. Select the appropriate jurisdiction:

![Select a Notice](image)

Select the desired notice type by clicking on the hyperlink for that type. For every firm notice type except Open a Location and Annual Fee Exclusion, the system then presents a **Search for Location** screen. Enter the desired criteria to retrieve the location for which you are

![Open a New Location](image)

For every firm submission type except Open a Location and Annual Fee Exclusion, the system then presents a Search for Location screen. Enter the desired criteria to retrieve the location for which you are
preparing a submission. When you are ready, click **Search**. The system executes the search according to your criteria and presents the results at the bottom of the screen. Select the desired location by clicking its NRD number.

Select a firm submission to view more specific details:

- Open a Location
- Location Address Information Change
- Close a Location
- Branch Manager Change
- Annual Fee Exclusion
- Location Status Change
1. **Open a Location**

1. Login. The system presents the task menu. Select Firm Submission from the main navigator or the Task Menu. From the list of Firm submission types, select Open a Location.

2. The system presents a list of the jurisdictions in which your firm is registered. Select the province or territory in which you wish to open a location.

3. The system presents the form required for opening a location. Information required includes the NRD number of the individual who will act as branch manager, location type (branch or sub-branch), as well as address and contact information for the new location. When the form is completed, click Save & Continue at the bottom of the page.

Click Add Another if you wish to open additional locations in the selected jurisdiction, as part of the same submission.

Clicking Reset will clear all fields to the values of the last successful save.

If you exit the system or are interrupted during the preparation of the submission, you may retrieve the submission from your Work in Progress tab on the main navigator. The submission is preserved up to the last successful save.

TIP – You can open multiple locations in a single submission provided these locations are all in the same jurisdiction.

TIP – Obtain the individual NRD number of the branch manager before starting this submission. The branch manager must be associated but not necessarily registered with your firm.
4. To view a summary of the location(s) you are applying to open, click Save & Continue. The system will display the location(s) for which you have completed the form. From the summary page you may add more locations or proceed to completing and sending the submission to regulators.
5. When you are ready, click **Complete Submission** on the local navigator. The system will verify that all required information is entered and will guide you through the Complete Submission process. If you prefer not to make the submission at this point, you may click the **Return to Task Menu** button to perform other tasks. The submission will be saved in your **Work in Progress**.
2. **Location Address Information Change**

1. From the Main Navigation bar, click **Firm Submission** button, and select **Location Address Information Change** from the list of Firm Notices.

2. The system displays a list of jurisdictions in which the firm is currently registered. Click the province or territory where the firm wishes to change the address information for a firm location.

3. The system presents a search form for the jurisdiction selected. You may search by the location’s NRD Number, by location type (Branch or Sub-Branch), the Branch manager’s NRD Number or by elements of the location address (“Address Contains” and “City”). Click **Search** to view the results. Select the desired location by clicking on the hyperlink of that location’s NRD number.

4. The system displays the current information for the location. Confirm that this is the correct location and click the **Change Location Address Information** button at the bottom of the page. If this is not the correct location, you may click **Cancel** to return to the location search page.

---

**7610 - CSAIDA Firm35**

**Change Location Address Information**

**Location Information**

- **Type of Location:** Branch

**Branch Manager Information**

- **NRD No.:** 24631
- **Last Name:** brown
- **First Name:** jean

**Business Address**

- **Address Line 1:** 1222 Lakeshore Road West
- **Address Line 2:** Suite 1300
- **City:** Toronto
- **Province/Territory/State:** Ontario
- **Postal Code:** M5H 1K8
- **Country:** Canada
- **Telephone No.:** 4165552699 ext.
- **Fax No.:** 4165552699

**Mailing Address**

- **Same as Above:** [ ]

[Change Location Address Information] [Cancel]
5. The system displays the form to change the location’s address information. All fields are editable except for the Province/Territory/State and Country fields. Make the required changes to the address and contact information and provide an effective date. The effective date must be a past or current date. Click **Save & Continue** to proceed with the submission.

<table>
<thead>
<tr>
<th>Business Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address Line 1:</td>
</tr>
<tr>
<td>Address Line 2: (if applicable)</td>
</tr>
<tr>
<td>City:</td>
</tr>
<tr>
<td>Province/Territory/State:</td>
</tr>
<tr>
<td>Postal Code:</td>
</tr>
<tr>
<td>Country:</td>
</tr>
<tr>
<td>Telephone No.:</td>
</tr>
<tr>
<td>Fax No.:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mailing Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Same as Above:</td>
</tr>
<tr>
<td>Address Line 1:</td>
</tr>
<tr>
<td>Address Line 2: (if applicable)</td>
</tr>
<tr>
<td>City:</td>
</tr>
<tr>
<td>Province/Territory/State:</td>
</tr>
<tr>
<td>Postal Code:</td>
</tr>
<tr>
<td>Country:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Date:</td>
</tr>
</tbody>
</table>

6. The system verifies that you have entered all required information and guides you through the **Complete Submission** process.

NOTE – If you are accessing the notice from **Work In Progress**, existing data is displayed. If you had previously entered a mailing address for the location and then select the “Same as Above” field, the mailing address information will be deleted from the submission. If you delete a previously saved fax number, telephone number or extension, the information is deleted from the submission as it was last saved and not from the permanent record itself.
3. **Close a Location**

1. From the Main Navigation bar, click the **Firm Submission** tab and then select the **Close a Location** hyperlink.

2. The system displays a list of jurisdictions in which the firm is currently registered. Select the province or territory where the firm wishes to close a location.

3. The system presents a search form for the jurisdiction selected. You may search by the location’s NRD Number, by location type (Branch or Sub-Branch), the Branch manager’s NRD Number or by elements of the location address (“Address Contains” and “City”).

4. Select the desired location from the search results by clicking the hyperlink of that location’s NRD number. The system displays the current record for that location. Verify that this is the correct location and click the **Close Location** button at the bottom of the page. If this is not the correct location, you may click **Cancel** to return to the location search page.

---

**Close a Location**

<table>
<thead>
<tr>
<th>Location Information</th>
<th>Branch Manager Information</th>
<th>Business Address</th>
<th>Mailing Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Location:</td>
<td>NRD No.:</td>
<td>Address Line 1:</td>
<td>Same as Above:</td>
</tr>
<tr>
<td></td>
<td>24631</td>
<td>1222 Brock Street</td>
<td>✔</td>
</tr>
<tr>
<td></td>
<td>Last Name:</td>
<td>Address Line 2:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>brown</td>
<td>(if applicable)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>First Name:</td>
<td>City:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>joan</td>
<td>Toronto</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Province/Territory/State:</td>
<td></td>
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<td></td>
<td></td>
<td>Ontario</td>
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<tr>
<td></td>
<td></td>
<td>Postal Code:</td>
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<td></td>
<td></td>
<td>M5H 1J7</td>
<td></td>
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<td></td>
<td></td>
<td>Country:</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Canada</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Telephone No.:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4165558888 ext.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Fax No.:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4165557777</td>
<td></td>
</tr>
</tbody>
</table>

---

**Close a Location** ▸ **Cancel**
5. To close the location, enter an effective date for the closure and click **Save & Continue**. The effective date must be a past or current date.

6. The system will display a list of all individuals, if any, that are still working at the location to be closed. The system will allow you to complete the submission even if individuals are still listed at this location. However, you should make a note of these individuals and deal with their status at your firm. Specifically, you should complete one of the following submissions for each individual, as appropriate:

- **Employment Location Change**;
- **Change or Surrender of Individual Categories**;
- **Notice of Termination**

If you decide to deal with the status of these individuals before completing the Close a Location submission, simply click **Individual Submission** or any other tab or link on your screen to exit this submission. This submission will be saved in your **Work In Progress**, where you can retrieve it at a later time.
7. If you decide to complete the submission before dealing with the individuals still listed with the location, click Continue at the bottom of the screen or click the Complete Submission button from the local navigator to complete your submission. The system verifies that you have entered all required information and guides you through the Complete Submission process.

TIP – NRD does not have a “Re-Open Location” submission, therefore closed locations cannot be re-opened under the same NRD number. To effectively re-open a location, you must complete an Open a Location submission, re-entering all data for the location in question.

TIP – To view information for closed locations click Firm Information on the main navigator, then Other Locations on the local navigator. Click the yellow Closed Locations button near the upper right of that screen.

TIP – You will be permitted to close a location even if individuals are recorded on NRD as being employed at the location. However, you should move all individuals to another business location as soon as possible, preferably, before you complete this submission.
4. **Branch Manager Change**

1. From the Main Navigation bar, click the **Firm Submission** tab, and then select **Branch Manager Change** from the list of Firm Notices.

2. The system displays a list of jurisdictions in which the firm is currently registered. Click the province or territory where the firm wishes to change the Branch Manager of a firm location.

3. The system presents a search form for the jurisdiction selected. You may search by the location’s NRD Number, by location type (Branch or Sub-Branch), the current Branch manager’s NRD Number or by elements of the location address (“Address Contains” and “City”). Click **Search** to view the results. Select the desired location by clicking on the hyperlink of that location’s NRD number.

4. The system displays the current information for the location selected, including the current Branch manager. Verify that this is the correct location and click the **Change in Branch Manager** button at the bottom of the page. If this is not the correct location, you may click **Cancel** to return to the location search page.

5. The system displays the form for changing the Branch manager. The only editable field is the NRD number of the branch manager. Enter the new manager’s NRD number and an effective date. The effective date must be a past or current date. When you are ready, click **Save & Continue**. The system will validate the new manager’s NRD number and redisplay the screen. As long as the NRD number is valid for an individual currently registered with your firm, the screen will now show the new branch manager’s name and NRD number. The screen also displays a message advising you to confirm your change. When you are ready, click **Save & Continue** again to complete the submission.
6. The system verifies that you have entered all required information and guides you through the Complete Submission process.
5. **Annual Fee Exclusion**

1. From the Main Navigation bar, click the **Firm Submission** button, and then select **Annual Fee Exclusion** from the list of firm notices.

2. The system displays a list of jurisdictions in which the firm is currently registered. Click the province or territory where the firm wishes to exclude individuals from annual fees.

3. The system displays a screen requiring the NRD number of the individual that the firm wishes to exclude from its annual fees. Enter a valid number and click **Continue**.

4. The system validates the NRD number entered, displays the legal name of the corresponding individual, and that person’s individual categories with your firm. If this is not the correct individual, click **Cancel** at the bottom of the screen to execute a new search by individual NRD number. To add other individuals to the annual fee exclusion for this jurisdiction, click **Add Another** to identify other individuals. If you are ready to proceed with the submission, click **Save & Continue**.
5. After you have confirmed at least one individual for the submission, the system will display a summary list that includes the NRD number, and the first and last name of each individual. From this summary, you may click Add Another to add more individuals, or click Continue to complete the submission. If you wish to remove any individuals from the list, click that person’s last name. The screen will display their information as described in step 4, with a Delete checkbox in the upper right corner. Check off the box and click Save & Continue. That individual will be removed from the summary list.

When you are ready, click Continue on the summary list page or Complete Submission on the local navigator. The system verifies that you have entered all required information and guides you through the Complete Submission process.
TIP – If an individual is registered in more than one jurisdiction, you must create a new submission for each of the jurisdictions in which you intend to exclude the individual from annual fees.

TIP – You may file this submission type at any time of year, and you may file more than one submission, if you have various individuals whom you wish to exclude from annual fees. You may not however, apply to exclude the same individual from annual fees in the same jurisdiction more than once.

TIP – If an individual is identified in the annual fee exclusion, the individual will remain active with your firm until December 30 of the current year. On December 31, the status of this individual changes to “Suspended (Bulk Annual Fee Exclusion)” for that jurisdiction.

TIP - The firm must file one of the following submissions for the individual no more than 5 business days after December 31:

- Change or Surrender of Individual Categories; or
- Notice of Termination.
6. Location Status Change

1. From the Main Navigation bar, click the Firm Submission tab and select Location Status Change from the list of Firm Notices.

2. The system displays a list of jurisdictions in which the firm is currently registered. Select a province or territory by clicking on the province or territory where the firm wishes to change a location type.

3. The system presents a search form for the jurisdiction selected. You may search by the location’s NRD Number, by location type (Branch or Sub-Branch), the Branch manager’s NRD Number or by elements of the location address (“Address Contains” and “City”). Click Search to view the results. Select the desired location by clicking on the hyperlink of that location’s NRD number.

4. The system displays the current record for the selected location. Verify that this is the correct location and click the Change in Location Type button. If this is not the correct location, you may click Cancel to return to the location search page.

5. The system displays the form to change the location type. Change the location type in the drop-down menu at the top of the page, and enter an effective date for the change. The effective date must be a past or current date. Click Save & Continue to proceed.

The system verifies that you have entered all required information and guides you through the Complete Submission process.

TIP – Only one location can be updated per submission.
### Change Location Type

#### Location Information

<table>
<thead>
<tr>
<th>Type of Location:</th>
<th>Sub-Branch</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Date:</td>
<td>2002 / 09 / 01</td>
</tr>
</tbody>
</table>

#### Branch Manager Information

<table>
<thead>
<tr>
<th>NRD No.</th>
<th>24631</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name</td>
<td>brown</td>
</tr>
<tr>
<td>First Name</td>
<td>joan</td>
</tr>
</tbody>
</table>

#### Business Address

<table>
<thead>
<tr>
<th>Address Line 1:</th>
<th>1222 Lakeshore Road West</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address Line 2:</td>
<td>Suite 1800</td>
</tr>
<tr>
<td>City:</td>
<td>Toronto</td>
</tr>
<tr>
<td>Province/Territory/State:</td>
<td>Ontario</td>
</tr>
<tr>
<td>Postal Code:</td>
<td>M5H 1K8</td>
</tr>
<tr>
<td>Country:</td>
<td>Canada</td>
</tr>
<tr>
<td>Telephone No.:</td>
<td>4165558888 ext.</td>
</tr>
<tr>
<td>Fax No.:</td>
<td>4165559999</td>
</tr>
</tbody>
</table>

#### Mailing Address

| Same as Above: | Yes |

- [Save & Continue >>](#)  
  - [Reset](#)
B. Individual Submissions

TIP – The individual submission illustrations make frequent references to Form 33-109F4 – Registration Information for an Individual, which is located at the end of this manual. For brevity, the manual will refer to the form as “Form 33-109F4”. Also the items within the form often will be referred to by number, and not number and title (e.g. “Item 15” instead of “Item 15 – Civil Disclosure”), if their context is obvious.

Preliminary Screens:

Once you are logged in to the system, click Individual Submission on the main navigator or on the Task Menu:

Click the desired submission category. The “Initial” screen displays the various Initial submission types available, including a description of each:
The “Amendment” screen displays the following:

**Select an Amendment**

- Change or Surrender of Individual Categories
- Apply for an Exemption

The “Notice” screen displays the following:
For all Individual Amendments and Notices, the system will then present a search field to identify the individual for whom you are preparing a submission. Enter the individual’s NRD number and click Continue. The system will validate the number and retrieve the corresponding individual’s record as it pertains to the chosen submission type.

You should always verify that you have retrieved the correct individual before proceeding with a submission. After you enter the NRD number and click Continue, the system posts a heading in large blue text that includes the individual’s NRD number and legal name at the left, along with the firm NRD number and name to the right, in slightly smaller blue text.
For some Notice Types, the system will then present a list of jurisdictions in which the individual is currently registered (e.g. Address and Agent for Service Change). Click a province or territory to proceed with the submission.

Confirm Permanent Record screen

This is the final required screen before completing the following Initial submissions:

- Transfer of Registration
- Registration with an Additional Sponsoring Firm
- Registration in an Additional Jurisdiction

You are required to confirm whether various disclosure types are current on the individual’s permanent record. If so, check the “Not Applicable” box and click Continue to proceed to the Complete Submission process. If not, check the appropriate box(es) and click Continue. The system saves your submission to your Work in Progress, allowing you to take care of any appropriate updates.
Select an individual submission to view specific details:

How to set up an individual to complete an Initial submission

Individual Submissions – Initial
Initial Registration
Transfer of Registration
Registration with an Additional Sponsoring Firm
Registration in an Additional Jurisdiction
Reactivation of Registration

Individual Submissions - Amendments
Change or Surrender of Individual Categories
Apply for an Exemption

Individual Submissions – Notices
Notice of Termination
Individual Name Change
Residential Address Change
Personal Information Change
Citizenship Information Change
Address and Agent for Service Change
Proficiency Information Change
Exemption Refusal Information Change
Employment Location Change
Current Employment Change
Regulatory Disclosure Change
Criminal Disclosure Change
Civil Disclosure Change
Financial Disclosure Change
Related Securities Firms Change
HOW TO SET UP AN INDIVIDUAL TO COMPLETE AN INITIAL SUBMISSION

The following Initial submissions can be completed by the individual:

- Initial Registration
- Reactivation of Registration
- Submission for Individuals included in Data Transfer

As an AFR, when you select one of these submission types, the system asks you to indicate who is completing the submission. Select the “Individual Applicant” radio button and click **Continue**: 

![Image of create individual screen](image)

The system presents a Create Individual screen, as it does when the AFR is completing the submission her/himself. Complete the fields as required and click **Save & Continue**.

![Image of individual information screen](image)

The system creates the individual on the system, assigning her/him an NRD number, as well as a user ID and password. This is similar to the process of creating an AFR on the system, except that the individual also receives an NRD number. Print this page and forward it in confidence to the individual applicant, who will then login to NRD. As with any new or reset user ID, this user must change her/his password upon the first login.
After the individual’s successful login, the system presents the Individual task menu. The individual has access only to the submission and admin tools:

Under Admin Tools, the individual can change her/his password:

Click **Individual Submission** to work on the Initial. The local navigator and submission content is identical to what an AFR would see, except for the absence of the **Reassign** button.
TIP – Since there is no Work in Progress tab, the individual’s work is always saved to the Individual Submission tab after each successful save. The user may therefore end a session in NRD without losing any work, as long as s/he has saved the work before logging out.

TIP – Should the individual be locked out of the system by making 3 unsuccessful login attempts within a 30-minute period, s/he should contact the AFR who provided the user ID. If the AFR is an AFR administrator or the Chief AFR, s/he can reset the individual’s password. Otherwise, the AFR should have an AFR administrator or the Chief AFR reset the password for the individual.

When the individual is ready to forward the submission to the AFR, s/he clicks Complete Submission at the bottom of the local navigator. The system performs the standard completeness check, but the Complete Submission process is abbreviated compared to what the AFR would see. The individual is first given the opportunity to print a report of the submission for her/his records:
The individual clicks **Continue** and the system presents the certification screen, asking the individual to certify that all information entered is true. Most of the AFR **Complete Submission** screens are not part of this process. When the individual certifies and completes the submission process by checking the certification box and clicking Submit to Firm, the submission is forwarded instantly to the AFR. The individual is automatically logged out of the system at this point.
If the individual logs back in now and clicks the **Individual Submission** tab, the system informs the user that the submission is under review with the firm. The individual cannot access or edit the submission.

The submission can now be found in the **Work in Progress** list of the AFR who set up the individual.

<table>
<thead>
<tr>
<th>NRD No.</th>
<th>Name</th>
<th>Submission No.</th>
<th>Submission Type</th>
<th>Created Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1040671</td>
<td>Ethier, Hermas</td>
<td>2003250</td>
<td>Initial Registration</td>
<td>2003/03/07</td>
</tr>
<tr>
<td>1040141</td>
<td>Tincopa, Erwin</td>
<td>20038</td>
<td>Initial Registration</td>
<td>2003/03/04</td>
</tr>
<tr>
<td>1040131</td>
<td>Lévesque, Diane</td>
<td>20037</td>
<td>Initial Registration</td>
<td>2003/03/04</td>
</tr>
<tr>
<td>1040111</td>
<td>Stanford, Mick</td>
<td>20035</td>
<td>Initial Registration</td>
<td>2003/03/04</td>
</tr>
</tbody>
</table>
1. INITIAL – Initial Registration

1. Refer to Form 33-109F4 for the full text of this submission type. In particular the disclosure questions are available in their entirety in the form.

2. From the Main Navigation bar, select Individual Submission. Then click Initial on the list of Individual submission types, and then Initial Registration on the list of Initial submissions.

3. The system asks, “Who will be completing the individual application?” Select either Individual Applicant or Authorized Firm Representative from the list displayed. If you select Individual Applicant the system will guide through the steps to generate a User ID and password for the individual who will be completing their own registration. The AFR may print this login information and forward it in some secure manner to the individual in question.

Having obtained this information, the individual will be able to login to the system and complete her/his own registration, following the same steps as the AFR would, up to the Complete Submission process.

The registration submission will then be delegated to the AFR that established the individual’s login ID. This AFR deals with the submission as appropriate. If necessary, the AFR may re-assign the submission to the individual to revise or provide further information on the submission. To re-assign a submission, the AFR clicks Re-assign on the local navigator of the submission and selects the individual from the drop down list of users set-up with the firm.

On NRD, the individual does not send the submission to regulators; only an AFR has such authorization. Once the AFR has sent the submission to regulators, the individual’s user ID and password automatically expire and s/he no longer has access to the system.

4. If you select Authorized Firm Representative, the system will guide you through the 17 items required for this submission. Select Authorized Firm Representative and click Continue. The
system presents the form to create an Individual on the system. Enter the current legal first and last name, second and third name (if applicable), and birth date of the individual. When you are ready, click Save & Continue.

```
Create Individual

Individual Information

Last Name: COPPERFIELD
First Name: DAVID
Second Name: (if applicable) CHARLES
Third Name: (if applicable)
Date of Birth: 1969 / 07 / 01 (YYYY/MM/DD)

Save & Continue >> Reset
```

5. The system validates the information entered, and generates an NRD number for the individual. The individual’s NRD number and legal name will appear at the top of every screen in the submission. From this point, you may leave the submission or logoff the system without losing the submission. You may retrieve it from your Work in Progress when convenient, and the submission will have been preserved as at the last successful save.

Also, for your convenience, you are not required to complete the submission in the order described here. Using the local navigator, you may navigate to any item of the submission, regardless of whether previous items are complete. At any rate, the system will not allow you to send the submission until all items are complete. You may check the completeness of your submission by clicking Complete Submission on the local navigator, and the system will apply checkmarks to the complete items, and display a message for every item that is incomplete. Also, whenever you retrieve a submission from Work in Progress, the items that were completed as of the last save will be checked off in the local navigator.

**Item 1 – Name** – Verify that the name you entered is complete and correct. Also, you must answer yes or no to the question of whether the individual is or has been known under another name. When you are ready, click Save & Continue.
6. If you answer “No,” the system will proceed to Item 2 – Residential Address. If you answer “Yes,” the system will display a form for divulging other names. Complete the form including the other name, the reason for the use of that other name and the effective date(s) for the use of the other name(s). If the name is still currently in use, no end date is required. Both start and end dates must be past or current dates, and the start date may not be greater than the end date. If there is more than one “Other Name” to divulge, you may click Add Another to complete the form for each of these names. To continue to the next section of the submission, click Save & Continue. The system will display a summary list of the other names, both past and current.
When you are ready to proceed, select **Continue** on the Other Names summary page or click **Residential Address** on the local navigator. The system displays **Item 2 – Residential Address**. You are required to provide a continuous record of residence (whether foreign or domestic) for the past 10 years. You may provide information beyond the 10-year requirement if desired, but no date gaps are permitted. Complete the form according to the instructions on the screen, including effective dates. The current address must not include an end date. To make additional address entries, click **Add Another**. To proceed, click **Save & Continue**.

<table>
<thead>
<tr>
<th>Item 1 · Name</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Other Names</strong></td>
</tr>
<tr>
<td>Last Name:</td>
</tr>
<tr>
<td>First Name:</td>
</tr>
<tr>
<td>Second Name:</td>
</tr>
<tr>
<td>Third Name:</td>
</tr>
</tbody>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name):

- Court order

Provide period known by above name:

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
</tr>
</thead>
<tbody>
<tr>
<td>1990</td>
<td>1995</td>
</tr>
</tbody>
</table>

![Form Image]

7. When you are ready to proceed, select **Continue** on the Other Names summary page or click **Residential Address** on the local navigator. The system displays **Item 2 – Residential Address**. You are required to provide a continuous record of residence (whether foreign or domestic) for the past 10 years. You may provide information beyond the 10-year requirement if desired, but no date gaps are permitted. Complete the form according to the instructions on the screen, including effective dates. The current address must not include an end date. To make additional address entries, click **Add Another**. To proceed, click **Save & Continue**.
8. When you click **Save & Continue**, the system displays a summary of the address entries made. If you wish to delete or edit any entries, click the address line of the entry. The address information can then be edited, or the entry deleted by checking the **Delete** box that will appear near the upper right corner of the screen. After editing the entry or checking the **Delete** box, click **Save & Continue** to return to the summary. If you checked the **Delete** box, the entry will no longer appear on the summary. When you are ready, click **Continue**.

9. The system displays **Item 3 – Personal Information**. Verify the date of birth originally entered at the beginning of the submission and complete the remaining fields. When you are ready, click **Save & Continue**.
10. The system displays **Item 4 – Citizenship**. Complete the form as required. If the individual is Canadian, you need only check off the “Canadian” check box. For all other nationalities, complete the fields as indicated. When you are ready, click **Save & Continue**.
TIP – If the individual is not a Canadian citizen and does not have a passport from her/his own country, complete the relevant fields as follows:

- **Passport number**: “N/A”
- **Date of issuer**: enter the current date
- **Place of Issuance – City**: “N/A”
- **Place of Issuance – Province/Territory/State**: “N/A”
- **Place of Issuance – Country**: enter the country of citizenship

**Item 4 - Citizenship**

**Citizenship Information**

What is your citizenship?

- [ ] Canadian
- [x] Other, specify: **Peruvian**

If you are a citizen of a country other than Canada, complete the following for that other citizenship. You are only required to provide the following information for one citizenship.

- **Passport No.**: n/a
- **Country of Citizenship**: Peru
- **Date of Issue**: 2003 / 03 / 11 (YYYY/MM/DD)
- **Place of Issuance – City**: n/a
- **Province/Territory/State**: Not Applicable
- **Country**: Peru

11. The system displays **Item 5 – Registration Jurisdictions**, a checkbox list of the jurisdictions in which the firm is registered. Check off the jurisdiction(s) in which the individual is to be registered. When you are ready, click **Save & Continue**.

12. The system displays the selected jurisdictions as hyperlinks. If you wish to change this selection, click **Add Another** to return to the checkbox list. You may change or add to your selection. When your selection is ready, click the hyperlink of a jurisdiction to complete the individual’s registration information for that province or territory.

TIP – You must complete “Registration Categories” and “Address for Service” for each jurisdiction in which the individual is being registered.
13. When you click the hyperlink of a jurisdiction, the system displays Item 6 - Individual Categories, a checkbox list of the firm’s registration categories in the selected jurisdiction. If the individual is an Officer of any kind, an Officer title must be selected from the drop-down list at the bottom of the screen. If “Other” is selected, type the Officer’s title in the field provided. When you are ready, click Save & Continue at the bottom of the screen.

TIP – If you select any Investment Dealer approval categories, the system will display a page similar to this one listing the IDA approval categories available. Check off the appropriate IDA individual approval categories and click Save & Continue.

14. The system displays Item 7 – Address and Agent for Service. Complete the form as instructed. When you are ready, click Save & Continue.
15. The system returns to the list of selected jurisdictions. If you have selected more than one province or territory in which to register the individual, you must complete the registration categories and the Address and Agent for service information for each of them. When you are ready, you may navigate to Item 8 – Proficiency by clicking Continue on the selected jurisdictions page or by clicking Proficiency on the local navigator.

16. The system displays Item 8 – Proficiency. Complete the form as instructed. If a course/exam has been exempted, do not enter a “Date Completed.” Check the “Exempt” box, enter an exemption date and indicate by whom the exemption was granted. If the course/exam taken does not appear on the course/exam drop-down list, select “Other” and specify in the field provided. Click Add Another to disclose information for additional courses or exams. Click Save & Continue to proceed. If you check the box indicating that the individual is not required to provide proficiency information, the system will proceed to Item 9 – Location of Employment. Otherwise the system will proceed as follows.
17. The system displays a list of proficiencies entered, indicating the completion/exemption date and exemption status of each. To edit or delete any proficiency item, click the name of the course/exam. The entry may be edited or deleted. A Delete checkbox will appear near the upper right corner of the screen. Complete your changes or check the Delete box and click Save & Continue. The system displays the list of proficiencies. If you checked the Delete box, the entry no longer appears on the summary list. Click Continue to proceed.

18. The system displays a screen requesting student numbers. Complete the form as appropriate, and click Save & Continue.

   TIP – It is possible that you have completed courses with one of the institutions listed, but were never assigned a student number. If this is the case, type “Not applicable” in that institution’s student number field.

19. The system displays a list of student numbers entered. Click Continue to proceed to the next part of the Proficiency Item. The system displays a page asking whether the individual has been refused proficiency exemption. If you answer “No” and click Save & Continue the system will proceed to Item 9 – Location of Employment. If you answer “Yes,” the system displays a form to divulge the details of the refusal(s). Complete the form as directed. Click Add Another to complete the form for any additional refusals. When you are ready, click Save & Continue.
### Item 8 - Proficiency

**Exemption Refusal**

Complete the following for each exemption that was refused:

<table>
<thead>
<tr>
<th>a) Which securities regulatory authority or self-regulatory organization refused to grant the exemption?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ontario Securities Commission</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>b) State the name of the course, examination or experience requirement:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian Securities Course</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>c) State the reason given for not being granted the exemption:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous experience deemed to be insufficient.</td>
</tr>
</tbody>
</table>

20. The system displays a list of the exemption refusals entered. They are listed by the course/exam name. To edit or delete an entry, click the course/exam name. The system displays the refusal details. A **Delete** checkbox will appear near the upper right corner of the screen. Complete your changes or check the **Delete** box and click **Save & Continue**. The system displays the list of refusals. If you checked the **Delete** box, the entry no longer appears on the summary list. Click **Continue** to proceed.

21. The system displays **Item 9 – Location of Employment**. A search form is displayed to retrieve information on the business location of the individual’s employment. A location of employment is a branch, sub-branch or the head office of the firm. The location must be in a jurisdiction in which
you are registering the individual and should be the location at which the individual spends most of his/her time. You may search by location NRD number, elements of the address, jurisdiction or branch manager NRD number. If the individual resides in Québec or in a foreign location, select your firm’s Head Office as the location of employment.

22. When you are ready, click **Search**. The system retrieves a list of active locations in the selected jurisdiction, according to your search criteria.

23. Select the correct location by clicking its NRD number. The system displays the location information on record. Ensure that this is the correct location and click **Continue** to confirm this location of employment for the individual.

24. The system displays **Item 10 – Current Employment**. Complete the form as appropriate. If you have more than one current employment entry to make, click **Add Another** at the bottom of the screen after completing the form for the first entry. When you are ready, click **Save & Continue**. Refer to **Item 10 on Form 33-109F4** to see all required data.
25. The system will display a list of current employment entries. To edit or delete an entry, click the employer name. The system displays the employment record. A Delete checkbox will appear near the upper right corner of the screen. Complete your changes or check the Delete box and click Save & Continue. The system displays the current employment list. If you checked the Delete box, the entry no longer appears on the summary list. Click Continue to proceed.

26. The system displays Item 11 – Previous Employment. You are required to provide continuous employment information for the past 10 years. If current employment information goes back at least 10 years, or if you indicated that the individual is not required to divulge employment information, you need only indicate so by checking the box near the top of the screen (“All disclosure required by this section has been made in response to Item 10”). Otherwise, complete the form as directed. If you wish, you may provide information that extends beyond the 10-year requirement, but there must be no date gaps.

Refer to Item 11 on Form 33-109F4 to see all required data.

To make more than one previous employment entry, click Add Another at the bottom of the screen. When you are ready to proceed, click Save & Continue. The system displays a list of previous employment entries made. If you need to edit or delete any entries click that entry’s Employer Name to retrieve the information. A Delete checkbox will appear near the upper right corner of the screen. Complete your changes or check the Delete box and click Save & Continue. The system displays the previous employment list. If you checked the Delete box, the entry no longer appears on the summary list. Click Continue to proceed.
27. Disclosure Questions – Items 12 through 17 – Please refer to Form 33-109F4 for the full text of these disclosure questions.

28. The system displays Item 12 – Resignations and Terminations. You must answer yes or no to each question and click Save & Continue. If you answer “Yes” to any question, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click Save & Continue.

29. The system displays Item 13 – Regulatory Disclosure. This item is composed of 3 sets of questions; each set on a separate screen. The first set of questions relates to Securities Regulatory Authorities, the second set relates to Self-Regulatory Organizations, and the third set of questions relates to Non-Securities Regulation. If you answer “Yes” to any question, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click Save & Continue.

30. The system displays Item 14 - Criminal Disclosure. This item is composed of 1 set of questions, all on a single screen. If you answer “Yes” to any question, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click Save & Continue.

31. The system displays Item 15 - Civil Disclosure. This item is composed of 2 questions. If you answer “Yes” to any question, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click Save & Continue.

32. The system displays Item 16 - Financial Disclosure. This item is composed of 5 sets of questions; each set on a separate screen. If you answer “Yes” to any question, the system will guide you through the necessary steps to provide a detailed response. When you are ready, click Save & Continue.
33. The system displays the final item, Item 17 - Related Securities Firms. The first part of this item is a question regarding any relation to securities firms other than the individual’s sponsoring firm.

- If you answer “No” to this question and click Save & Continue, the system will validate the entire submission and either guide you through the Complete Submission process, or inform you of any incomplete portions of the submission.

<table>
<thead>
<tr>
<th>Item 17 - Related Securities Firm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Related Securities Firms</td>
</tr>
</tbody>
</table>

a) Other than with your sponsoring firm, are you a partner, director, or officer of a firm having as its principal business that of trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) having as its principal business that of trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)?

- Yes
- No

Save & Continue ▶  Reset

- If you answer “Yes” and click Save & Continue, the system displays the form to provide information on the individual’s related securities firm. See the Schedule “N” in Form 33-109F4 for the full text of this screen. Complete this form as instructed. If you have more than one related securities firm to disclose, click Add Another. Otherwise, click Save & Continue.

34. When you click Save & Continue the system presents a list of the related securities firms you have entered. If you answered yes to question h), indicating that a person other than the individual you are registering is the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by the individual, the system will present a form to disclose information on this beneficial owner. See the Schedule “N” in Form 33-109F4 for the full text of this screen.

Complete the form as required and click Save & Continue. Or, if you have more than one beneficial owner to disclose for this related securities firm, click Add Another.

35. When you click Save & Continue, the system displays a list of beneficial owners entered for the related securities firm. To review, edit or delete any beneficial owner entry, click the beneficial owner’s name to display the entry in full. Make any changes as appropriate and click Save & Continue to return to the beneficial owners list.
36. When you are ready, click **Continue**. The system displays the list of related securities firms you have entered. To review, edit or delete any related securities firm entry, click its firm name to display the entry in full. Make any changes as appropriate and click **Save & Continue** to return to the related securities firms list.

37. **Item 17** is the last item on this submission. When you are satisfied with the related securities firms and any beneficial owners entered, click **Continue** on the screen or **Complete Submission** on the local navigator.

The system validates the submission, applying checkmarks to all the completed items on the local navigator. If any items are incomplete, the system displays a message in red text relating to that item. You may navigate to that item using the local navigator and complete that section.

If the submission is complete, the system guides you through the **Complete Submission** process. The first screen confirms that all required information is complete. If you wish to send the submission to regulators at this point, click **Continue**.
38. The system prepares to calculate the fees for the submission. You are asked whether the submission relates to a deficiency. If you answer “Yes”, provide the submission number to which this is related and click Continue. Fees will be determined later in reference to the submission to which you referred. If you answer “No”, simply click Continue.

39. The system generates a submission fee summary. Review the fees and click Printable Page to view the summary in a printable format. Or, click Acknowledge to confirm the fee summary and proceed to the next step in the Complete Submission process.
TIP – By clicking **Acknowledge** you have not yet activated any payment by electronic funds transfer. Payment from your firm’s NRD account will not be processed until after you have sent the submission to regulators.

<table>
<thead>
<tr>
<th>Firm Submissions</th>
<th>Individual Submission</th>
<th>Search</th>
<th>Work in Progress</th>
<th>Sent to Regulators</th>
<th>Firm Information</th>
<th>Admin Tools</th>
</tr>
</thead>
</table>

8083111 - Laramie, Brian  
20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.

Submit to Regulators - 20034525 - Initial Registration - Submission Fee Summary

**Ontario**

Officer (Non-Advising, Non-Resident)  
$100.00

Sub-Total: $100.00

**Allocation:**

Ontario Securities Commission  
$100.00

Jurisdiction Total: $100.00

**NRD user Fee and Tax Applicable**

NRD User Fee  
$75.00

GST 7%  
$5.25

Sub-Total: $80.25

**Allocation:**

CDS  
$80.25

Grand Total: $180.25

The amount of $180.25 will be withdrawn from Bank Account # 321-987967zzz via Electronic Fund Transfer.

[Printable Page]  [Acknowledge]

40. After you acknowledge at the bottom of the fee summary, the system gives you the opportunity to generate a printable copy of this entire submission as a “Registration Information for an Individual Report”. If you wish to generate a report, fill out the screen as instructed and click **Generate**. The system will guide you through the process of retrieving your printable report.

TIP – You will not be able to generate this report once you have sent the submission to regulators. However, upon approval of an Initial submission, you can generate a **permanent record report** for the individual.
41. When you are ready to send the submission to regulators, click Continue on this screen or if you retrieved the submission from your Work in Progress, follow the Complete Submission screen flow as directed.

42. The final Complete Submission step is a certification page that includes statements regarding Agent(s) for Service, submitting to jurisdictions, collection and use of personal information, and self-regulatory organizations. This page also lists the jurisdictions and regulators to whom the submission will be sent. Read the information and statements carefully before certifying the submission by checking the certification checkbox near the bottom of the page. See Form 33-109F4 for the full text of the certification page.

Warning

It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

Certification of Applicant

I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Send

Click on 'Send to Regulators', to send the submission and any applicable fees to:

<table>
<thead>
<tr>
<th>Province or Territory</th>
<th>Securities Regulatory Authority or Self-Regulatory Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ontario</td>
<td>Ontario Securities Commission</td>
</tr>
</tbody>
</table>
TIP – Until you click **Send to Regulators**, you have the chance to exit the submission without sending it. If you do this, the submission will be saved in your **Work in Progress**. If appropriate, you may even delete the submission from your WIP.

When you are ready, click **Send to Regulators**. The system performs a final validation on the submission and sends it to regulators, processing any applicable fee payments from your NRD account.

The submission now appears in your **Sent to Regulators** list. It will remain here until it has been processed by regulators.

You may follow the progress of your submission by opening it under **Sent to Regulators** and clicking **Submission History** in the local navigator. The Submission History tracks the processing of the submission’s fees as well as its status with the relevant regulators.
808111 - Laramie, Brian

Submission History

Summary

<table>
<thead>
<tr>
<th>Type</th>
<th>Submission No.:</th>
<th>Created By</th>
<th>Submitted By</th>
<th>Created On:</th>
<th>Submitted On:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial</td>
<td>20034525</td>
<td>Stevenson, Lynne</td>
<td>Stevenson, Lynne</td>
<td>2003/02/06, 01:03PM</td>
<td>2003/02/20, 10:22AM</td>
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</tbody>
</table>

Fee Information

<table>
<thead>
<tr>
<th>Fee Status</th>
<th>Fee Type</th>
<th>Fee Amount</th>
<th>Reason for Resubmission of Payment</th>
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</thead>
<tbody>
<tr>
<td>Created</td>
<td>Initial</td>
<td>190.25</td>
<td></td>
</tr>
</tbody>
</table>

Ontario Securities Commission

Current Status: Submitted
2. INITIAL - Transfer of Registration

TIP – The process for transferring an individual from Firm A to Firm B is similar to registering an individual with Firm B while that individual maintains registration and employment with Firm A. This submission is completed by an AFR from the firm TO WHICH the individual is being transferred.

1. From the Main Navigation bar, select Individual Submission. Then click Initial on the list of Individual submission types, and then Transfer of Registration on the list of Initial submissions.

2. The system presents a form by which you identify the individual. You must enter this person’s NRD number, Last and First Legal Name, and exact date of birth, as recorded on NRD. All these must be entered to ensure exact identification. When you are ready, click Save & Continue.

3. The system retrieves the individual corresponding to the data entered. If this is not the correct individual, click Cancel to execute a new search. Otherwise, click Continue.
4. The system displays a checkbox list of jurisdictions in which your firm is registered. Select the jurisdiction(s) in which the individual will be registered with your firm. You may only select jurisdictions where the individual is registered with her/his current firm. Select the appropriate jurisdiction(s) and click **Save & Continue**.

5. The system displays the selected jurisdictions as hyperlinks. Follow each hyperlink in turn to provide registration information for that jurisdiction.

   **TIP** – You must complete the individual registration categories and the Address and Agent for Service information for **each jurisdiction** in which you are registering the individual.

6. When you click a jurisdiction, the system displays a checkbox list of the individual categories available in that jurisdiction. There are no pre-selected categories. You must check at least one category. If you select an “Officer” category, you must also specify the officer title in the drop-down list at the bottom of the page. If you select an “Other” officer title, specify the title in the field provided. When you are ready, click **Save & Continue**.

7. If applicable, the system displays a checkbox list of the firm’s individual IDA approval categories. You must select at least one category. When you are ready, click **Save & Continue**.

8. The system displays the **Address and Agent for Service** form for the selected jurisdiction. Complete the form as directed and click **Save & Continue** when you are ready.

9. The system returns to the hyperlink list of jurisdictions in which you are registering the individual. As mentioned above, if you selected more than one jurisdiction, click each one in turn to complete the individual categories and Address and Agent for Service for each jurisdiction. If you wish to alter the list of jurisdictions, click “Add Another” to display the checkbox list. You may add other jurisdictions to the list, or remove jurisdictions.

   **TIP** – If you remove a jurisdiction from the list, any data you entered for that jurisdiction is deleted.

10. When you have completed this information for each jurisdiction, click **Continue**.
11. The system presents a search form to select the individual’s location of employment. Enter the desired criteria and click **Search**. The system executes the search and displays any results below the search form. Select the desired location from the search results to view its detailed record. If this is not the correct location, click **Cancel** to execute a new location search. Otherwise, click **Continue**.

TIP – You must select a location that is in a jurisdiction where you are registering the individual. If you don’t the system will display an error message informing you that you have selected an invalid location for the individual.

12. The system presents the Current Employment form. Complete the form as directed (as was done in the [Initial Registration](#)) and click **Save & Continue** or **Add Another** (if you wish to disclose additional current employment items).

13. When you have completed the Current Employment information and clicked **Continue** on the Current Employment summary page, the system displays the **Resignations and Terminations** disclosure questions. The answers are drawn from the individual’s permanent record. Update each question appropriately. You cannot change a “Yes” answer to a “No”. Refer to the [Initial Registration](#) submission illustration for more details on completing disclosure questions.

---

**Transfer Individual - Resignations And Terminations**

**Resignation and Termination Information**

Have you ever resigned or been terminated following allegations, made by a client, sponsoring firm, self-regulatory organization, securities regulatory authority or any other regulatory authority that you:

a) violated investment-related statutes, regulations, rules or industry standards of conduct?

  - Yes
  - No

b) failed to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct?

  - Yes
  - No

c) committed fraud or the wrongful taking of property?

  - Yes
  - No

[Save & Continue] [Reset]

14. When you have completed the Resignations and Terminations questions, click **Save & Continue**. The system asks you to confirm that the permanent record has current information for Regulatory, Criminal, Civil, Financial and Related Securities Firms disclosure. If you check any of the...
disclosure types and click **Continue**, the system saves your submission in your WIP list and returns you to the task menu. The firm from whom the individual is being transferred should update the individual’s permanent record. If all disclosure is up-to-date, check the “Not Applicable” box and click **Continue** to complete the submission.

The system verifies that you have entered all the required information and begins the **Complete Submission** process.
3. INITIAL – Registration with an Additional Sponsoring Firm

TIP – The process for registering an individual with an additional sponsoring firm is similar to the steps followed for the Transfer of Registration, except that the individual will actually be registered with multiple firms. See the transfer submission illustration for screens similar to the ones described here.

This submission is completed by an AFR from the additional firm with which the individual is being registered.

1. From the Main Navigation bar, select Individual Submission. Then click Initial on the list of Individual submission types, and then Registration with an Additional Sponsoring Firm on the list of Initial submissions.

2. The system presents a form by which you identify the individual. You must enter this person’s NRD number, Last and First Legal Name, and exact date of birth, as recorded on NRD. All these must be entered to ensure exact identification. When you are ready, click Save & Continue.

3. The system retrieves the individual corresponding to the data entered. If this is not the correct individual, click Cancel to execute a new search. Otherwise, click Continue.

4. The system displays a checkbox list of jurisdictions in which your firm is registered. Select the jurisdiction(s) in which the individual will be registered with your firm. You may only select jurisdictions where the individual is registered with her/his current firm. Select the appropriate jurisdiction(s) and click Save & Continue.

5. The system displays the selected jurisdictions as hyperlinks. Follow each hyperlink in turn to provide registration information for that jurisdiction.

   TIP – You must complete the individual registration categories and the Address and Agent for Service information for each jurisdiction in which you are registering the individual.

6. When you click a jurisdiction, the system displays a checkbox list of the individual categories available in that jurisdiction. You must check at least one category. If you select an “Officer” category, you must also specify the officer title in the drop-down list at the bottom of the page. If you select an “Other” officer title, specify the title in the field provided. When you are ready, click Save & Continue.

7. If applicable, the system displays a checkbox list of the firm’s individual IDA approval categories. You must select at least one category. When you are ready, click Save & Continue.

8. The system displays the Address and Agent for Service form for the selected jurisdiction. Complete the form as directed and click Save & Continue when you are ready.

9. The system returns to the hyperlink list of jurisdictions in which you are registering the individual. As mentioned above, if you selected more than one jurisdiction, click each one in turn to complete the individual categories and Address and Agent for Service for each jurisdiction. If you wish to alter the list of jurisdictions, click Add Another to display the checkbox list. You may add other jurisdictions to the list, or remove jurisdictions.
TIP – If you remove a jurisdiction from the list, any data you entered for that jurisdiction is deleted.

10. When you have completed this information for each jurisdiction, click **Continue**.

11. The system presents a search form to select the individual’s Location of Employment with your firm. Enter the desired criteria and click **Search**. The system executes the search and displays any results below the search form. Select the desired location from the search results to view its detailed record. If this is not the correct location, click **Cancel** to execute a new location search. Otherwise, click **Continue**.

TIP – You must select a location that is in a jurisdiction where you are registering the individual with your firm. If you don’t, the system will display an error message informing you that you have selected an invalid location for the individual.

12. The system presents the Current Employment form. Complete the form as directed, by entering the new employment with the new firm (as was done in the **Initial Registration**) and click **Save & Continue** or **Add Another** (if you wish to disclose additional current employment items).

13. When you have completed the Current Employment information and clicked **Continue** on the Current Employment summary page, the system displays the Resignations and Terminations disclosure questions. The answers are drawn from the individual’s permanent record. Update each question appropriately. You cannot change a “Yes” answer to a “No”. Refer to the **Initial Registration** submission illustration for more details on completing disclosure questions.

14. When you have completed the Resignations and Terminations questions, click **Save & Continue**. The system asks you to confirm that the permanent record has current information for Regulatory, Criminal, Civil, Financial and Related Securities Firms disclosure. If you check any of the disclosure types and click **Continue**, the system saves your submission in your WIP list and returns you to the task menu. The original firm with whom the individual is registered should update the individual’s permanent record. If all disclosure is up-to-date, check the “Not Applicable” box and click **Continue** to complete the submission.
4. INITIAL – Registration in an Additional Jurisdiction

TIP – The steps followed in this submission are similar to those followed for Transfer of Registration. In particular, the steps involved in completing the individual categories and Address and Agent for Service information by jurisdiction are very similar. Please see the transfer submission illustration for more screen images.

1. From the Main Navigation bar, select Individual Submission. Then click Initial on the list of Individual submission types, and then Registration in an Additional Jurisdiction on the list of Initial submissions.

2. The system presents a search form by which you identify the individual. Enter this person’s NRD number and click Save & Continue.

3. The system retrieves the record of the individual corresponding to the NRD number entered. If this is not the correct individual, click Cancel to execute a new search by NRD number. Otherwise, click Save & Continue.

4. The system displays the jurisdiction(s) in which the individual is currently registered with your firm (display-only), along with a checkbox list of the other jurisdictions in which your firm is registered. Check the jurisdictions in which you wish to register the individual and click Save & Continue.

5. The system displays the selected jurisdictions as hyperlinks. Follow each hyperlink in turn to provide registration information for that jurisdiction.

   TIP – You must complete the individual registration categories and the Address and Agent for Service information for each jurisdiction in which you are registering the individual.

6. When you click a jurisdiction, the system displays a checkbox list of the individual categories available in that jurisdiction. You must check at least one category. If you select an “Officer” category, you must also specify the officer title in the drop-down list at the bottom of the page. If you select an “Other” officer title, specify the title in the field provided. When you are ready, click Save & Continue.

7. If applicable, the system displays a checkbox list of the firm’s individual IDA approval categories. You must select at least one category. When you are ready, click Save & Continue.

8. The system displays the Address and Agent for Service form for the selected jurisdiction. Complete the form as directed and click Save & Continue when you are ready.

9. The system returns to the hyperlink list of jurisdictions in which you are registering the individual. As mentioned above, if you selected more than one jurisdiction, click each one in turn to complete the individual categories and Address and Agent for Service for each jurisdiction. If you wish to alter the list of jurisdictions, click Add Another to display the checkbox list. You may add other jurisdictions to the list, or remove jurisdictions.

   TIP – If you remove a jurisdiction from the list, any data you entered for that jurisdiction is deleted.
10. When you have completed this information for each jurisdiction, click **Continue**.

11. The system asks you to **confirm that the permanent record** has current information for Regulatory, Criminal, Civil, Financial and Related Securities Firms disclosure. If you check any of the disclosure types and click **Continue**, the system saves your submission in your WIP list and returns you to the task menu. You must update the individual’s permanent record for the system to allow you to complete this submission. If all disclosure is up-to-date, check the “Not Applicable” box and click **Continue** to complete the submission.

   If you answer “Yes”, and click **Continue**, the system verifies that you have entered all the required information and begins the **Complete Submission** process.
5. INITIAL – Reactivation of Registration

1. From the Main Navigation bar, select Individual Submission. Then click Initial on the list of Individual submission types, and then Reactivation of Registration on the list of Initial submissions.

2. As with the Initial Registration, you are asked who is completing the submission. See the How to set up an individual to complete an Initial submission for details on setting up an individual to complete their own submission. Otherwise, select Authorized Firm Representative and click Continue.

3. The system presents a form by which you identify the individual that you are reactivating. You must enter this person’s NRD number, Last and First Legal Name, and exact date of birth, as recorded on NRD. All these must be entered to ensure exact identification. When you are ready, click Save & Continue.
4. The system retrieves the individual corresponding to the data entered. If this is not the correct individual, click **Cancel** to execute a new search. Otherwise, click **Continue**.

5. The system now guides you through steps almost identical to the **Initial Registration**. The main difference is that information from the individual’s permanent record is retrieved for most every item on the form. If you need to make updates to this information, you may do so for every item, as directed.
The items for which you must complete all new information are:

- Registration Jurisdictions
- Registration Categories
- Address and Agent for Service
- Current Employment

See the corresponding sections in the Initial Registration submission illustration for details on completing these sections. If you know that all other items are current, you needn’t make any further changes.

TIP – If you are completing a reactivation submission and the individual in question has previously disclosed proficiency information in her/his permanent record, although that proficiency information does not display here, you are not required to disclose it again. Select the "Not required" checkbox.

6. When you are satisfied that all items on the submission are complete and current, click Complete Submission on the local navigator. The system verifies that you have completed all required information and guides your through the Complete Submission process.
6. **AMENDMENT – Change or Surrender of Individual Categories**

1. On the Main Navigator, click the **Individual Submission** tab and select **Amendment** from the list of submission types.

2. Select **Change or Surrender of Individual Categories** from the list of amendment types. The system displays a search screen on which to identify the individual in question. Enter that individual’s NRD number and click **Continue**.

3. The system displays a list of the jurisdiction(s) where the individual is currently registered. Verify that you have retrieved the record of the **correct individual**. Click the appropriate province/territory. The system displays the individual’s registration categories and IDA approval categories (if applicable) in that jurisdiction. If this is not the correct jurisdiction, click **Cancel** to return to the list of jurisdictions. If this is the correct jurisdiction, click **Change or Surrender Registration Categories** to continue.

4. The system displays a checkbox list of all the firm’s individual categories in the selected jurisdiction.

   The first part of the checkbox list is composed of this individual’s current categories. Check any of these categories to **remove** them from the individual’s registration.

   The second part of the checkbox list is composed of all of the firm’s individual categories in the selected jurisdiction in which this individual is currently NOT registered. Check off any of the categories, as appropriate, to **add** them to the individual’s registration. If you are adding an “Officer” category, you must select an Officer title at the bottom of the screen. If you select an “Other” officer title, you must specify the title in the field provided.
When you are ready, click **Continue** at the bottom of the screen. If applicable, the system will display a similar screen with IDA approval categories – first, any categories in which the individual is currently registered, then the categories in which s/he is not. Remove or add categories as appropriate and click **Continue** when you are ready.

5. The system validates your changes and displays a confirmation page that lists the registration/approval categories you wish to remove and/or add. Confirm that these changes are correct and click **Save & Continue**.

6. The system validates your changes and guides you through the **Complete Submission** process.

   **TIP** – If the system detects that you are attempting to remove the individual’s last remaining categories in her/his last jurisdiction of registration, you will receive an error message explaining that you must complete a **Notice of Termination** rather than surrender all the individual’s categories. You may not send this submission to regulators.

   **TIP** – This submission allows you to change or surrender individual categories for only one jurisdiction at a time.
7. **AMENDMENT – Apply for an Exemption**

TIP – You cannot use NRD for this application if it is a pre-filing. Registered and non-registered individuals must be associated with the firm on NRD before you can submit this application on NRD.

1. On the Main Navigator, click the **Individual Submission** tab and select **Amendment** from the list of submission types.

2. Select **Apply for an Exemption** from the list of amendment types. The system displays an input field by which to identify the individual in question. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the record corresponding to the NRD number entered. This screen displays a hyperlink list of the jurisdictions in which the individual is registered. Verify that you have retrieved the record of the correct individual, and click the appropriate jurisdiction to continue.

4. To apply for an exemption, complete the screen by indicating the course, exam or experience requirement from which the individual is seeking exemption, along with experience requirements, if applicable. If the course/exam/requirement doesn’t appear on the list provided, select **Other** and specify the course/requirement in the field provided. You must also indicate the reasons for the request. When you are ready, click **Save & Continue**. If the individual is seeking exemption for more than one course/exam in the selected jurisdiction, click **Add Another** to provide information for each course/exam as appropriate.
Apply For Exemption - Ontario

Exemption Information

Select the courses, examinations and/or experience requirements from which you are applying for an exemption:

Courses/Examinations:

To apply for an exemption from courses and/or examinations, select one or more of the following using the following steps: Click on a course, hold the CTRL key to select more than one course.

To remove a course, hold down the CTRL key and click on the course.

- 30-day Training Program
- 90-day Training Program
- ACE Trader Exam
- Agricultural Merchants - Risk Management Course (ARM)
- Branch Compliance Officers Course
- Branch Manager's Examination Course (formerly the Canadian Branch Managers Qualifying Examination)
- Canadian Commodity Futures Examination
- Canadian Commodity Supervisors Examination

If 'Other' is selected above, specify:

AND/OR

Experience Requirements:

Explain why you are applying for the exemption. Include information about other courses you have completed, relevant experience and any other information that supports your request.
5. When you are ready, click **Continue** button at the bottom of the screen that lists the courses/exams, or click **Complete Submission** on the local navigator. The system verifies that you have entered all required information and guides you through the **Complete Submission** process.

**TIP** – You may only apply for exemption in one jurisdiction at a time.
8. NOTICE – Notice of Termination

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Notice of Termination from the list of notice types. The system displays a search screen on which to identify the individual whose registration with the firm is to be terminated. Enter that individual’s NRD number and click Continue.

3. The system retrieves the record corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. The system displays the individual’s legal name and NRD number, as well as her/his current employment location and individual categories in each of the jurisdictions in which s/he is registered with your firm.

TIP – If there are any submissions pending with regard to this individual, the system will display a warning message to that effect. You may wish to deal with these pending submissions before completing this termination submission. In this case you may leave the termination submission at this point. It will automatically be saved in your Work in Progress for later reference. Alternatively, you may continue with the termination submission without dealing with the individual’s other pending submission. The system will allow you to complete and send the submission to regulators.

The system also displays on this screen a field for the effective date of the termination. Enter the appropriate date, which must be a past or current date. You are also required to disclose the details of the termination. Follow the directions on the screen to complete this field.
4. When you are ready, click **Save & Continue**.
TIP – The system will display a warning message if you are about to terminate an individual who is currently a branch manager with your firm. In this case, you may wish to complete a Branch Manager Change submission, or apply to the regulator to update the “Compliance Officer” information for your Head Office, if appropriate, before completing this individual’s termination. In this case you may leave the termination submission and it will be saved in your Work in Progress for future reference.

The system will allow you to complete the termination even if you do not make these changes first. Click Save & Continue again to confirm that you do indeed wish to terminate the individual.

5. The system verifies that you have entered all required data and guides you through the Complete Submission process
9. **NOTICE – Individual Name Change**

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Individual Name Change from the list of Notice types. The system displays a search screen on which to identify the individual whose name is to be changed. Enter that individual’s NRD number and click Continue.

3. The system retrieves the Individual Name information that corresponds to the NRD number entered. Verify that you have retrieved the record of the correct individual. If this is the correct individual, make the appropriate changes to the record, and enter an effective date. This date must be a past or current date. If you indicate that the individual is or has been known under other names, the system will guide you through the appropriate screens to add these other names to the individual’s record. When you are ready, click Save & Continue. The system verifies that you have entered all the required information and guides you through the Complete Submission process.

![Change Individual Name Form](image)

<table>
<thead>
<tr>
<th>Legal Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last Name:</td>
</tr>
<tr>
<td>First Name:</td>
</tr>
<tr>
<td>Second Name: (if applicable)</td>
</tr>
<tr>
<td>Third Name: (if applicable)</td>
</tr>
</tbody>
</table>

Provide reason for name change:

- [ ] Marriage

Are you currently, or have you previously, been known by a name other than the name mentioned above?

- [ ] Yes  - [ ] No

Effective Date: [2002] / [09] / [01] (YYYY/MM/DD)

Save & Continue  Reset
10. NOTICE – Residential Address Change

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Residential Address Change from the list of Notice types. The system displays a search screen on which to identify the individual whose residential address is to be changed. Enter that individual’s NRD number and click Continue.

3. The system retrieves the residential address information corresponding to the individual NRD number entered. Verify that you have retrieved the record of the correct individual, make the appropriate changes to the address information and enter an effective date. This date must be a past or current date. When you are ready, click Save & Continue.

4. The system verifies that you have entered all required data and guides you through the Complete Submission process.
11. NOTICE – Personal Information Change

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Personal Information Change from the list of notice types. The system displays a search screen on which to identify the individual whose personal information is to be changed. Enter that individual’s NRD number and click Continue.

3. The system retrieves the personal information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual, and make the appropriate changes. You may not change the date or place of birth. Enter an effective date – this must be a past or current date. When you are ready, click Save & Continue. The system verifies that you have entered all required information and guides you through the Complete Submission process.

### Change in Personal Information

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<th>Personal Description</th>
<th></th>
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</thead>
<tbody>
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<td>1970/07/01</td>
</tr>
<tr>
<td>Place of Birth:</td>
<td></td>
</tr>
<tr>
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<td>Vancouver</td>
</tr>
<tr>
<td>Province/Territory/State:</td>
<td>British Columbia</td>
</tr>
<tr>
<td>Country:</td>
<td>Canada</td>
</tr>
<tr>
<td>Gender:</td>
<td>C Female</td>
</tr>
<tr>
<td>Colour of Eyes:</td>
<td>Blue</td>
</tr>
<tr>
<td>Colour of Hair:</td>
<td>Red</td>
</tr>
<tr>
<td>Height:</td>
<td>400 cm</td>
</tr>
<tr>
<td>Weight:</td>
<td>180 lbs</td>
</tr>
<tr>
<td>Effective Date:</td>
<td>2002/09/10</td>
</tr>
</tbody>
</table>

[Save & Continue >>] [Reset]
12. NOTICE – Citizenship Information Change

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Citizenship Information Change from the list of notice types. The system displays a search screen on which to identify the individual whose citizenship information is to be changed. Enter that individual’s NRD number and click Continue.

3. The system retrieves the citizenship information corresponding to the NRD number you entered. Verify that you have retrieved the record of the correct individual. Update the record as follows:

   - If you are changing the citizenship to “Canadian”, no other data is required besides a check in the “Canadian” box, and an effective date. The effective date must be a past or current date.
   - If you are entering data for an “Other” citizenship, you must specify the citizenship beside the “Other” checkbox, and provide:
     - Passport Number
     - Country of citizenship (from the drop-down list)
     - Date of Issue of the passport
     - Place of Issuance of the passport: City, Province/Territory/State, and Country.
     - An effective date, which must be a past or current date.

TIP – If the individual is not a Canadian citizen and does not have a passport from her/his own country, complete the relevant fields as follows:
Passport number: “N/A”
Date of issuer: enter the current date
Place of Issuance – City: “N/A”
Place of Issuance – Province/Territory/State: “N/A”
Place of Issuance – Country: enter the country of citizenship

4. When you are ready, click Continue. The system verifies that you have entered all required data and guides you through the Complete Submission process.
13. **NOTICE – Address and Agent for Service Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Address and Agent for Service Change** from the list of notice types. The system displays a search screen on which to identify the individual whose address and agent for service information is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system displays a list of jurisdictions in which the individual is currently registered. Verify that you have retrieved the record of the correct individual. Click the appropriate province or territory to proceed.

4. The system displays the current Address and Agent for Service for the selected jurisdiction. Make the appropriate changes to the record, and enter an effective date. The date must be a past or current date.

5. When you are ready, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the **Complete Submission** process.
14. **NOTICE – Proficiency Information Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Proficiency Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose proficiency information is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the record corresponding to the NRD number you entered. Verify that you have retrieved the record of the correct individual. Enter the appropriate new proficiency information:

   If the course/exam is **not exempt**:
   - Course/Exam name (if you select “Other” from the drop-down list, type in the name of the course/exam in the “Other” field)
   - Date Completed
   - Effective Date (must be a past or current date)

   If the course/exam is **exempt**:
   - Course/Exam name (if you select “Other” from the drop-down list, type in the name of the course/exam in the “Other” field)
   - Check the “Exempt” checkbox
   - Date Exempted
   - Exemption Granted by (select an organization from the drop-down list)
   - Effective Date (must be a past or current date)
Click **Add Another** to enter information on another proficiency. When you are ready, click **Save & Continue**. The system validates the information entered and displays a list of the proficiencies entered. To edit any entries, click the hyperlink for that entry, and edit as desired.

### Item 8 - Proficiency

<table>
<thead>
<tr>
<th>Course or Examination Information</th>
<th>Date Completed or Exempted</th>
<th>Exempted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian Commodity Futures Exam</td>
<td>2002/09/10</td>
<td>No</td>
</tr>
</tbody>
</table>

You may delete any entry by checking the **Delete** box in the upper right corner of that entry, and clicking **Save & Continue**. The system re-displays the list of proficiencies and the deleted entry no longer appears. When you are satisfied with the list, click **Continue**.

4. The system displays a screen for updating student number information. Make any changes or updates as appropriate and click **Save & Continue** when you are ready.

   TIP – It is possible that you have completed courses with one of the institutions listed, but were never assigned a student number. If this is the case, type “Not applicable” in that institution’s student number field.

5. The system verifies that you have entered all required information and guides you through the **Complete Submission** process.
15. **NOTICE – Exemption Refusal Information Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Exemption Refusal Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose exemption refusal information is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system displays the exemption refusal information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. The system displays a question asking whether the individual has been refused exemption from courses, exams or experience requirements.

   - If the previous answer was “No”, select the “Yes” radio button and click **Save & Continue** to proceed.
   - If the individual has a record of previous refusals, click **Save & Continue** to proceed directly to the next screen.

```
<table>
<thead>
<tr>
<th>Proficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exemption Refusal</td>
</tr>
<tr>
<td>a) Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement?</td>
</tr>
<tr>
<td>☑ Yes ☐ No</td>
</tr>
</tbody>
</table>
```

4. The system displays a form in which you are to disclose the following:

   - The securities authority or self-regulatory organization that refused to grant the exemption.
   - The name of the course, exam or experience requirement that was refused exemption.
   - The reason for the refusal.

   You must also enter an effective date. The effective date must be a past or current date. If you have more than one exemption refusal to disclose for this individual, click **Add Another**. Otherwise, click **Save & Continue**.
5. When you click Save & Continue after making your last exemption refusal entry, the system displays these entries listed by proficiency name. To review, edit or delete any item, click its proficiency name. When you are finished, click Save & Continue to return to the list of proficiencies you entered.

6. When you are ready, click Continue. The system verifies that you have entered all required data and guides you through the Complete Submission process.
16. NOTICE – Employment Location Change

1. On the Main Navigator, click the Individual Submission tab and select Notice from the list of submission types.

2. Select Employment Location Change from the list of notice types. The system displays a search screen on which to identify the individual whose employment location is to be changed. Enter that individual’s NRD number and click Continue.

3. The system displays the individual’s current employment location. Verify that you have retrieved the record of the correct individual and click Continue.

4. The system displays a search screen to identify the individual’s new employment location. Enter the desired criteria and click Search. The system retrieves a list of your firm’s business locations that meet the search criteria. Click a location NRD number to continue.

   TIP – You may not change an individual’s employment location to a jurisdiction in which s/he is not registered.

5. The system displays the record for the selected business location, including the Branch Manager, Location type (Head Office, Branch or Sub-Branch), and the address. If this is not the correct...
location, click **Cancel** to execute a new location search. If this is the correct location, enter an effective date. The date must be a past or current date.

### Change Employment Location

<table>
<thead>
<tr>
<th>Current Business Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>NRD No.: 8722</td>
</tr>
<tr>
<td>Type of Location: Branch</td>
</tr>
<tr>
<td>Branch Manager: 24631 - brown, joan</td>
</tr>
<tr>
<td>Address Line 1: 1222 Lakeshore Road West</td>
</tr>
<tr>
<td>Address Line 2: (if applicable) Suite 1800</td>
</tr>
<tr>
<td>City: Toronto</td>
</tr>
<tr>
<td>Province/Territory/State: Ontario</td>
</tr>
<tr>
<td>Postal Code: M5H 1K8</td>
</tr>
<tr>
<td>Country: Canada</td>
</tr>
<tr>
<td>Effective Date: [2002 / 09 / 01 (YYYY/MM/DD)]</td>
</tr>
</tbody>
</table>

When you are ready, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the **Complete Submission** process.
17. **NOTICE – Current Employment Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Current Employment Change** from the list of notice types. The system displays a search screen on which to identify the individual whose current employment information is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system displays the form to change the current employment of the individual. Verify that you have retrieved the record of the correct individual. See Item 10 in Form 33-109F4 for the full text of the current employment item.

   This form is like Item 10 – Current Employment, completed in the Initial Registration for an Individual. Enter all the relevant current employment information, including a “From” date. The “From” date must be a past or current date. Click **Add Another** if you have more than one current employment to disclose. Click **Save & Continue** when you are ready.

4. The system validates the information entered and displays a list of current employment items. Click the name of a business or employment to review, edit or delete that entry. Click **Add Another** if you have more employment items to add.

   When you are ready, click **Continue**. The system verifies that you have entered all required data and guides you through the **Complete Submission** process.
18. **NOTICE – Regulatory Disclosure Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Regulatory Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose regulatory disclosure is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the regulatory disclosure corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual.

See [Item 13 in Form 33-109F4](#) for the full text of the regulatory disclosure questions.

Whether you are adding disclosure to a question for which you have provided previous disclosure, or you are changing a “No” answer to “Yes”, when you click **Save & Continue** the system will present a hyperlink to each question. Follow each hyperlink in turn to provide detailed disclosure for each question.

- “No” answers do not require further disclosure.
- You may not change a “Yes” answer to a “No” if it was retrieved from the permanent record.

4. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.
19. **NOTICE – Criminal Disclosure Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Criminal Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose criminal disclosure is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the criminal disclosure corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 14 in Form 33-109F4 for the full text of the criminal disclosure questions.

   Whether you are adding disclosure to a question for which you have provided previous disclosure, or you are changing a “No” answer to “Yes”, when you click **Save & Continue** the system will present a hyperlink to each question. Follow each hyperlink in turn to provide detailed disclosure for each question.

   ➢ “No” answers do not require further disclosure.
   ➢ You may not change a “Yes” answer to a “No” if it was retrieved from the permanent record.

4. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the **Complete Submission** process.
20. **NOTICE – Civil Disclosure Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Civil Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose civil disclosure is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the civil disclosure corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 15 in Form 33-109F4 for the full text of the civil disclosure questions.

   Whether you are adding disclosure to a question for which you have provided previous disclosure, or you are changing a “No” answer to “Yes”, when you click **Save & Continue** the system will present a hyperlink to each question. Follow each hyperlink in turn to provide detailed disclosure for each question.

   - “No” answers do not require further disclosure.
   - You may not change a “Yes” answer to a “No” if it was retrieved from the permanent record.

4. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that all you have entered all required data and guides you through the **Complete Submission** process.
21. **NOTICE – Financial Disclosure Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Financial Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose financial disclosure is to be changed. Enter that individual’s NRD number and click **Continue**.

3. The system retrieves the financial disclosure corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 16 in Form 33-109F4 for the full text of the financial disclosure questions.

   Whether you are adding disclosure to a question for which you have provided previous disclosure, or you are changing a “No” answer to “Yes”, when you click **Save & Continue** the system will present a hyperlink to each question. Follow each hyperlink in turn to provide detailed disclosure for each question.

   - “No” answers do not require further disclosure.
   - You may not change a “Yes” answer to a “No” if it was retrieved from the permanent record.

4. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.
22. **NOTICE – Related Securities Firms Change**

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.

2. Select **Related Securities Firms Change** from the list of notice types. The system displays a **search screen** on which to identify the individual whose related securities information is to be changed. Enter that individual’s NRD number and click **Continue**.

3. Verify that you have retrieved the record of the **correct individual**.

4. The system displays the question regarding related securities firms. (See **Item 17 in Form 33-109F4** for the full text of the questions and forms that follow). If the individual has previously answered “Yes”, the system displays the message “You have previously provided disclosure for this item”. Click **Save & Continue** to update the information. If the individual has previously answered “No”, the “Yes” and “No” radio buttons are displayed with the “No” button selected. You must change the selection to “Yes” and click **Save & Continue** to proceed with the submission.

5. The system presents a list of related securities firms previously disclosed. Or, if you are disclosing this information for the first time, the system displays the Related Securities Firm form immediately. See **Item 17 in the Initial Registration submission illustration**, as well as **Item 17 in Form 33-109F4** for details on completing the various screens for this item.
6. If you are adding to previous disclosure, either click **Add Another** to add a related securities firm, or click a firm name to update firm or beneficial partner information. This updating can include ceasing a related securities firm’s relationship to the individual, and/or ceasing any beneficial owners’ relationship to their related securities firm. Cease a relationship by opening the firm or individual record. There is a **Cease relationship** checkbox at the top of every firm or beneficial owner record. After you check this box and click **Save & Continue** at the bottom of the screen, the system displays the firm or beneficial owner’s name with “(Ceased)” after the name. When this submission is approved, this information will be saved to the individual’s permanent record.

7. When you are satisfied that you have made all appropriate updates and changes, click **Continue** on the summary list of related securities firms, or **Complete Submission** on the local navigator.
NRD™ FORM 1

ENROLMENT OF FIRM

TO: CDS INC. (Attention: NRD Administrator)
85 Richmond Street West, Toronto, Ontario M5H 2C9

Please select one box:

☐ Initial Filing by Firm in the National Registration Database (“NRD”)
  All sections must be completed. Appendix A must be attached and signed. Return this form with NRD Form 3 NRD Account Holder Authorization, and if required, NRD Form 2 Enrolment of Chief Authorized Firm Representative, together with a true copy of the certificate of incorporation, certificate of amendment or other business registration document issued by the applicable governmental office that confirms the current legal name of the firm, as stated in section 1 below, and any required NRD enrolment fees by cheque payable to “CDS INC.” and deliver by prepaid mail or personal delivery to the NRD administrator at the address above, or to such other address as may be provided at the NRD website.

☐ Change to Previous Filing
  Describe change(s):
  ☐ Appointment of new chief AFR
    - complete sections 1, 2, 4 & 5
  ☐ Change of chief AFR name
    - complete sections 1, 2, 4 & 5
  ☐ NRD account information for pre-authorized debit
    - complete sections 1, 3, 4 & 5

Do not resubmit Appendix A. Changes will be effective after the NRD administrator has completed its processing of all required information and forms. Return this form with any other forms (if required eg. NRD Form 2 and/or NRD Form 3) and related documents (if required eg. Void cheque of the NRD account) and deliver by prepaid mail, personal delivery or fax to the NRD administrator at the address above, or by fax to 1-866-729-8011, or to such other address or fax number as may be provided at the NRD website.

Changes to information in section 1 must be reported directly to the securities regulatory authority or regulator and not to the NRD administrator.

General Instructions:
A. This form may be downloaded from the NRD™ website at www.nrd.ca.
B. Authorized signatories of the firm must sign the form and Appendix A manually.
Section 1  Firm Information

Full legal name of firm:

Firm NRD number (only required if a change to previous filing):  Head office main phone number: (       )

Section 2  Confirmation of Appointment of Chief AFR

The firm confirms that it has appointed the person below as its sole chief AFR and confirms that it has revoked all prior appointments to this position. The information completed in this section must match the information completed in section 1 of NRD Form 2.

<table>
<thead>
<tr>
<th>Last name:</th>
<th>First name:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Second name (if applicable):</th>
<th>Third name (if applicable):</th>
<th>Active user ID of chief AFR*:</th>
</tr>
</thead>
</table>

* If the chief AFR does not have an active user ID from a previous appointment or wishes to obtain an additional active user ID for this appointment, a completed NRD Form 2 must accompany this form.

Section 3  NRD Account Information for Electronic Pre-Authorized Debit

The firm confirms the following NRD account information from which the payment of fees shall be made through NRD by electronic pre-authorized debit as authorized by the chief AFR or other AFRs appointed to act on behalf of the firm and confirms that any existing NRD account previously set up by the NRD administrator is to be replaced by this NRD account. A completed NRD Form 3 must accompany this form and the information completed in this section must match the information completed in section 3 of the corresponding NRD Form 3.

<table>
<thead>
<tr>
<th>Name of NRD account holder:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Name of NRD account holder’s financial institution**:</th>
<th>Branch transit number:</th>
<th>NRD account number:</th>
</tr>
</thead>
</table>

** The financial institution selected must be a member of the Canadian Payments Association.
Section 4  Contact Information

If the NRD administrator has any questions about the information provided on this form, it can contact:

<table>
<thead>
<tr>
<th>Last name:</th>
<th>First name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business address (street name and number):</td>
<td>Municipality (city, town, etc):</td>
</tr>
<tr>
<td>Province/territory /state:</td>
<td>Postal code:</td>
</tr>
<tr>
<td>Direct phone number</td>
<td>Fax number</td>
</tr>
<tr>
<td>(     )</td>
<td>(     )</td>
</tr>
<tr>
<td>Extension if applicable:</td>
<td>E-mail address:</td>
</tr>
</tbody>
</table>

Section 5  Acknowledgements of Firm

All access to and use of NRD shall be subject to the Terms and Conditions of Use attached as Appendix A to the Initial Filing of this form by the firm, and any amendments thereto.

All confirmations, notices and other correspondence between the NRD administrator and the firm shall be sent to the attention of the then current chief AFR of the firm, at the e-mail address or fax number of the chief AFR, as selected by the chief AFR on NRD Form 2, as such e-mail or fax number may be amended by the chief AFR upon notice on NRD Form 2 to the NRD administrator.

Changes to certain information shall be made as follows:

- The firm shall deliver an amended NRD Form 1 and a new or an amended NRD Form 3 to the NRD administrator at least 10 business days prior to a change of the NRD account named in section 3 of this form.

- The firm shall deliver an amended NRD Form 3 to the NRD administrator within 5 business days of a change to the contact information for the NRD account in section 2 of NRD Form 3.

- Unless a firm is changing its legal name or NRD account, it shall deliver an amended NRD Form 1 to the NRD administrator as soon as practicable following a change to the information on the most recently submitted NRD Form 1.
The firm agrees that an executed copy of this form, if delivered to the NRD administrator by fax, shall have the same effect as an originally executed copy delivered to the NRD administrator. The firm has caused this form to be signed by its duly authorized signatories on its behalf.

<table>
<thead>
<tr>
<th>Name of firm:</th>
<th>Print name of signatory:</th>
<th>Direct phone number: (   ) Extension if applicable:</th>
<th>Date: (dd/mm/yyyy)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of authorized signatory</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Print name of signatory:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Direct phone number: (   ) Extension if applicable:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date: (dd/mm/yyyy)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signature of authorized signatory
Appendix A

to NRD Form 1

Terms and Conditions of Use
(last amended January 21, 2003)

ACKNOWLEDGED on behalf of the
Firm: _____________________________

name of firm

by: ________________________________

signature of authorized signatory

by: ________________________________

signature of authorized signatory

NRD™ is the National Registration Database created to facilitate the filing of information pursuant to Multilateral Instrument 31-102 – National Registration Database (NRD), and Multilateral Instrument 33-109 – Registration Information (collectively, the “Instrument”) and pursuant to Manitoba and Ontario Securities Commission Rules 31-509 (Commodity Futures Act) National Registration Database and 33-506 (Commodity Futures Act) Registration Information. Further details on the Instruments and NRD can be found in Companion Policy 31-102CP, Companion Policy 33-109CP and the NRD Filer Manual. NRD was also created to facilitate the electronic payment of fees using the NRD website located at www.nrd.ca. NRD is an initiative of the participating Canadian securities regulatory authorities (collectively, the “CSA”) and the Investment Dealers Association of Canada.

The use of NRD and the NRD website by or on behalf of the firm is subject to NRD Form 1 and the following terms and conditions of use agreed to between the NRD administrator and the firm (the “Agreement”):

1. **Firm Responsibilities.** Following completion of enrolment in NRD in accordance with the NRD Filer Manual, a firm’s authorized firm representatives and individual filers may access and use the NRD website only by the provision of a valid user ID, password and, if applicable, a personal identification number. A firm’s authorized firm representatives consist of the chief AFR appointed by the firm, any AFR administrators appointed by the chief AFR and any other AFRs appointed by the chief AFR or by an AFR administrator (collectively, the “AFRs”). Only AFRs may use NRD on behalf of the firm to make NRD submissions and electronic payments of fees.

For the purposes of the firm’s NRD submissions, the firm shall ensure that: (a) only its AFRs and individual filers will be permitted access to and use of the NRD website; and (b) it has implemented and maintains reasonable security precautions to control the access and use of NRD including the protection of user IDs, passwords and if applicable, personal identification numbers. The authority of the chief AFR to act on behalf of the
firm shall remain in effect until the NRD administrator receives written notice to the contrary from the firm. The firm acknowledges and agrees that it is solely responsible for any access and use of the NRD website by its AFRs and individual filers.

In the event that any conduct of the firm or any of its AFRs or individual filers is harmful to the operation of NRD and/or the NRD website, the NRD administrator reserves the right to deactivate a user ID or otherwise prevent or restrict any AFRs, individual filers and/or unauthorized individuals from accessing to use all or any part of the NRD website immediately and without notice. Access may be prevented or restricted as long as such conduct continues.

2. **Authorized Use of the NRD website.** The firm shall use the NRD website and any links to other web sites from the NRD website (“Linked Sites”) in accordance with the NRD Filer Manual and for lawful purposes only. The firm agrees not to introduce into or through the NRD website any information or materials that may be harmful to others.

The firm shall not use NRD, the NRD website or Linked Sites in any manner that, based on the reasonable knowledge or belief of the firm, could damage, disable, overburden, or impair NRD or the NRD website or interfere with any other person’s use of NRD or the NRD website. The firm shall not use any robot, spider or other automatic device, software program or manual process in a manner that interferes with any web pages on NRD, the NRD website or Linked Sites.

3. **Payments.** The firm agrees to pay to the NRD administrator all NRD enrolment fees, NRD submission fees, NRD annual filer fees and other fees and charges for services, plus applicable taxes, duties and other levies, as such fees and charges are set out in the NRD Filer Manual, a regulator notice or this Agreement. In the case of NRD submission fees, NRD annual filer fees and other fees or charges approved by the CSA or set out in the NRD Filer Manual, such fees and charges shall be paid in NRD by electronic pre-authorized debit using the NRD account.

The firm acknowledges that electronic payments for the firm may be authorized by any of the AFRs. It is the firm’s responsibility to ensure that the NRD account stays current and available for electronic payments of NRD fees and charges payable to the NRD administrator, as those NRD fees and charges become due. The firm agrees to cease initiating or authorizing electronic payments from the NRD account immediately upon revocation or cancellation by the NRD account holder of the NRD account holder’s NRD Form 3.

The firm agrees to pay interest to the NRD administrator on all unpaid fees and charges at the rate of 1% per month (12% per annum) from and after the due date, and shall pay any reasonable charges the NRD administrator establishes from time to time for failed payments or payments that were not honoured.

4. **Intellectual Property.** “NRD”, “www.nrd.ca” and related words and logos are trademarks and/or trade names of the NRD administrator (collectively, the “Trade-marks”). Nothing in this Agreement, on the NRD website or on NRD shall be construed as
granting, either expressly, by implication or otherwise, a license or other right to the firm to use the Trade-marks, or copyright or any other intellectual property right of the NRD administrator or CSA. The names of other companies, products or services referred to on the NRD website may be trade-marks or trade names of their respective owners. Any unauthorized use of the Trade-marks or third party trade-marks or trade names, or copyright or any other intellectual property right of NRD administrator or CSA is strictly prohibited.

All right, title and interest in the NRD website, NRD, all software used on the NRD website and all materials provided on the NRD website including, without limitation, associated information, databases, site design, text and graphics, are owned by the CSA, the NRD administrator or their respective suppliers and are protected by Canadian and international copyright laws (the “proprietary content”). All rights are reserved.

Any unauthorized use, reproduction, modification or distribution of the proprietary content is strictly prohibited and may cause the NRD administrator serious damages for which money damages may not constitute a sufficient remedy and in such instances the NRD administrator may seek and obtain injunctive relief, in addition to any other remedies.

5. **Privacy.** Personal information contained in NRD is governed by privacy laws, including without limitation, the federal *Personal Information Protection and Electronic Documents Act* and corresponding provincial privacy legislation. The firm is fully responsible for compliance with all privacy laws. The NRD website is subject to the terms of the NRD administrator's Privacy Statement, which can be viewed at the NRD website.

6. **Limitation of Liability and Disclaimers.** Access to and use of the NRD website is provided on an “as is” and “as available” basis. The firm’s use of the NRD website is entirely at its own risk. To the fullest extent permitted by law, except as stated in this Agreement, the NRD administrator and any of its affiliates, employees, agents, officers, contractors, directors or third party providers (collectively “Related Parties”) disclaim all warranties, representations or conditions of any kind, whether express or implied, including the implied warranties or conditions of merchantability and fitness for a particular purpose. The NRD administrator and the Related Parties make no representations, warranties or conditions about the accuracy, reliability, completeness, currency, quality, timeliness or usefulness of the NRD website or any goods, information or service provided through the NRD website. The NRD administrator and the Related Parties are not responsible for, nor do they independently verify, any of the content nor do they assume any obligation to update content or advise on further developments relating to NRD. The firm should not assume that NRD will be error-free, timely, accurate, and complete or that NRD will operate without interruption.

In no circumstances shall the NRD administrator and the Related Parties or other third parties mentioned on the NRD website be liable for any indirect, special, incidental, consequential or punitive damages or damages for lost profits arising out of or in connection with this Agreement or the use of or inability to make use of the NRD
website, the content or any service provided through the NRD website, whether based on warranty, contract, tort, negligence or any other legal theory, irrespective of notice. To the extent that some jurisdictions do not allow exclusions or limitations on some categories of damages, these exclusions or limitations may not apply to the firm. Notwithstanding the express exclusions and limitations set out in this Agreement, any and all liability of the NRD administrator and the Related Parties for actual and direct damages, unless caused by the gross negligence or willful misconduct of the NRD administrator, is limited to the repayment from the NRD administrator to the firm, without duplication, in respect of the specific filing or use of this NRD website (the “claim”) to a maximum amount of the fee paid to the NRD administrator in respect of which the filing or use of this NRD website was made, less amounts, if any, repaid by the NRD administrator for other claims in respect of the same filings or uses of this NRD website, provided that the firm is not in breach of this Agreement.

7. **Indemnity.** The firm agrees to indemnify and hold harmless the NRD administrator and the Related Parties from any claims, actions, demands, liabilities and settlements, including, without limitation, reasonable legal fees and costs, resulting from the firm’s material breach of this Agreement, gross negligence or willful misconduct in relation to its use of the NRD website by AFRs, individual filers and/or unauthorized individuals.

8. **Links to Other Sites.** The NRD website may contain Linked Sites. Unless specifically noted, the Linked Sites, and/or the content, goods or services sold or made available on the Linked Sites, are not under the control of the NRD administrator and accordingly the NRD administrator does not assume any responsibility for the same. The Linked Sites are provided only as a convenience, and the inclusion of any link does not imply that NRD administrator guarantees, recommends, approves, warrants or endorses the site, or any content, goods or services sold or made available on or through the site, or any association with its operations. Use of any Linked Sites is entirely at the firm’s own risk. Nothing in this Agreement grants the firm any rights or authorization with respect to any Linked Sites.

9. **Governing Law.** If the head office of the firm is situated in a jurisdiction in which the Instrument has been enacted, this Agreement shall be governed by, and the firm submits to, the applicable laws in force in the province of the head office of the firm and the laws of Canada applicable therein. Otherwise, this Agreement shall be governed by, and the firm submits to, the laws in force in the province where the head office of the NRD administrator is located and the laws of Canada applicable therein.

10. **Modification of Agreement.** Subject to the approval of the CSA, the NRD administrator may modify this Agreement at any time(s) by either posting notice of such modified agreement on the NRD website or by delivering a notice and copy of such modified agreement to the firm, and the firm agrees that it is deemed to have accepted such modification as is in effect at the time if, after such time, the AFRs and/or individual filers continue to access and use the NRD website. In the event of the foregoing, the firm agrees that it shall be bound by the provisions of the modified Agreement notwithstanding the lack of a manual signature of the firm upon any amended agreement.
This Agreement was last updated on the date shown above. Anything in the NRD website inconsistent with this Agreement is superseded by this Agreement.

11. **Modification to the NRD website.** The NRD administrator reserves the right to modify, add, change, discontinue or suspend the NRD website or any services made available on or through the NRD website in whole or in part, at any time without prior notice, subject to the approval of the CSA in most instances.

12. **Miscellaneous.** The provisions of sections 5, 6 and 7 shall survive termination of this Agreement. No waiver or failure to enforce any of the terms of this Agreement shall be deemed or construed as a waiver or continuing waiver of such term or any other term of this Agreement. If in any jurisdiction, any of the terms or portions of terms in this Agreement are held to be invalid or unenforceable by a court of competent jurisdiction, such term or portion of a term shall be severed, restricted or eliminated to the minimum extent necessary and will be deemed superseded by a valid enforceable term or portion of a term that most closely matches the intent of the original provision and the remaining provisions in this Agreement shall otherwise remain in full force and effect. It is the express wish of the parties that this Agreement and all related documents and correspondence to the firm have been or shall be drawn up in English. C’est la volonté expresse des parties que la présente convention ainsi que les documents qui s’y rattachent soient rédigés en anglais. Any cause of action arising out of or related to this Agreement must commence within two years after the cause of action arose; otherwise such cause of action is hereby waived and permanently barred. Headings are for convenience only and shall not affect the interpretation of this Agreement.

13. **Contact Us.** All notices to the NRD administrator pursuant to this Agreement must be sent to CDS INC., to the attention of the NRD administrator by fax at 1-866-729-8011; or by prepaid mail or personal delivery to 85 Richmond Street West, Toronto, Ontario M5H 2C9.

In the event of any questions or comments about the NRD website or the services offered by NRD administrator, the NRD administrator may be reached by calling 1-800-219-5381 or by sending a fax, as noted above. All notices, submissions, ideas or other information cannot be returned and once submitted, become the property of the NRD administrator.

© CDS INC. 2003 (attention: NRD Administrator). All Rights Reserved.
NRD™ FORM 2

ENROLMENT OF CHIEF AUTHORIZED FIRM REPRESENTATIVE

TO: CDS INC. (Attention: NRD Administrator)
85 Richmond Street West, Toronto, Ontario M5H 2C9
AND TO: Each Firm that appoints the undersigned as its chief AFR using the user ID assigned in respect of this enrolment

STRICTLY CONFIDENTIAL

Please select one box:

☐ First enrolment as a chief AFR in the National Registration Database (“NRD”)

☐ Request for a new user ID in connection with this enrolment as a chief AFR. Currently, you have one or more active user IDs as a chief AFR with one or more firms.

Do not provide any of your current user IDs to the firm enrolling you via this NRD Form 2.

Note: If this form was already completed in respect of a previous enrolment by you as a chief AFR and you wish to use the user ID assigned in respect of that enrolment, do not complete this form. Provide a current user ID to the firm enrolling you. The firm must include this user ID in section 2 of NRD Form 1 Enrolment of Firm.

☐ Change to Previous Filing
Describe change(s):

☐ Phone number, fax number and/or e-mail address
- complete sections 1 & 4

☐ Election whether confirmations should be sent by fax or by e-mail
- complete sections 1 & 4

☐ Personal Identification Number
- complete sections 1, 3 & 4

☐ Chief AFR name
- complete sections 1 & 4, provide proof of name change and return this form with NRD Form 1 (with sections 1, 2, 4 & 5 of NRD Form 1 completed by the firm).

Within five (5) business days of the change, return this form and any requested documents to the NRD administrator as described below. Changes will be effective after the NRD administrator has completed its processing of all required information and forms.
General Instructions:

A. This form may be downloaded from the NRD™ website at www.nrd.ca.
B. All sections must be completed. A manual signature is required by the chief AFR.
C. If a firm is enrolling an initial chief AFR or a new chief AFR, this form must be accompanied by NRD Form 1 completed by the firm when delivered to the NRD administrator. The names completed in section 1 of this form must match the names completed in section 2 of NRD Form 1.
D. The personal identification number referenced in section 3 of this form is to be kept strictly confidential. For security reasons, the chief AFR may choose to return this completed form, together with NRD Form 1, if required under C. above, to the NRD administrator on behalf of the firm.
E. Return this form by prepaid mail or personal delivery to the NRD administrator at the address above or, if this form is accompanied by an amended NRD Form 1 as required under C. above, it may be returned to the NRD administrator by fax to 1-866-729-8011, or, in both cases, to such other address or fax number as may be provided on the NRD website.

Section 1  Chief AFR Information

Last name:

<table>
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<tr>
<th>First name:</th>
<th>Second name:</th>
<th>Third name:</th>
</tr>
</thead>
</table>

Direct phone number:       Fax number:       E-mail address:       
(     )                     (     )                     
Extension if applicable:    

The chief AFR requests that the NRD administrator deliver to the chief AFR a confirmation of the set up of the firm below and/or a confirmation of the appointment of the chief AFR by that firm. Further, the chief AFR requests that the NRD administrator deliver to the chief AFR a confirmation for any other firm that has appointed the chief AFR as its chief AFR using the same user ID used in connection with this enrolment. The delivery of any confirmation to the chief AFR shall be in the English language by fax or e-mail, as selected below, using the fax number or e-mail address provided by the chief AFR in section 1, as may be amended in NRD.

Select one only:  
☐ fax  ☐ e-mail

If no selection is made or if both selections are made, delivery of the confirmation to the chief AFR shall be by fax.
Section 2 Firm Information

| Legal name of the firm that has appointed the chief AFR. | Firm NRD number (if firm has previously enrolled and is changing the chief AFR or any chief AFR information): |

Section 3 Personal Identification Number

Select four to six numbers as the unique confidential personal identification number (“PIN”) of the chief AFR. The PIN will be required to allow the chief AFR to access the NRD website. The chief AFR will be asked to reset his or her password after accessing the NRD website for the first time. It is the sole responsibility of the chief AFR to implement appropriate security precautions to ensure that the PIN selected below is kept strictly confidential.

Section 4 Acknowledgements of Chief AFR

NRD™ is the National Registration Database created to facilitate the filing of information pursuant to Multilateral Instrument 31-102– National Registration Database (NRD), and Multilateral Instrument 33-109– Registration Information and pursuant to Manitoba and Ontario Securities Commission Rules 31-509 (Commodity Futures Act) National Registration Database and 33-506 (Commodity Futures Act) Registration Information. Further details on these instruments and NRD can be found in Companion Policy 31-102CP, Companion Policy 33-109CP and the NRD Filer Manual. NRD was also created to facilitate the electronic payment of fees using the NRD website. NRD is an initiative of the participating Canadian securities regulatory authorities and the Investment Dealers Association of Canada.

The chief AFR confirms that he or she has accepted the appointment by the firm as the firm’s chief AFR. If the undersigned has elected to use the same user ID assigned in connection with this enrolment for any other firm, the chief AFR confirms that he or she has accepted the appointment by any other firm as that firm’s chief AFR. The chief AFR acknowledges that the payment of fees by electronic pre-authorized debit on behalf of the appointing firm(s) from each firm’s NRD account may be authorized by the chief AFR, or by any other AFRs appointed on behalf of such firm.

In the event that any conduct of any of the AFRs or individual filers of a firm is harmful to the operation of NRD and/or the NRD website, the NRD administrator shall so notify the chief AFR of that firm and the chief AFR agrees to revoke or otherwise prevent or restrict such AFRs,
individual filers and/or unauthorized individuals from access to use all or any part of the NRD website immediately.

Notice – Collection and Use of Personal Information

The personal information that you provide on this form or otherwise through NRD to the NRD administrator will be used to facilitate your access to and use of NRD and will not be used for any other purpose. The NRD administrator will retain your completed NRD Form 2 as evidence of your enrolment as a chief AFR. The information you provide on this form or otherwise through NRD will not be disclosed to any third party except for any of the Canadian securities regulatory authorities, the Investment Dealers Association or their authorized representatives for purposes of the administration or enforcement of securities legislation in the applicable jurisdictions. For information about the use of the information collected on this form or to obtain access to the information you have submitted, contact the NRD administrator at the address provided above or by telephone at 1-800-219-5381.

The chief AFR agrees to update the information submitted in section 1 of this form within 5 business days of the change. The chief AFR agrees that an executed copy of this form delivered to the NRD administrator by fax shall have the same effect as an originally executed copy delivered to the NRD administrator. The chief AFR acknowledges that all access to and use of NRD shall be subject to the terms mentioned above.

Print name of chief AFR:

<table>
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<tr>
<th>Last name:</th>
<th>First name:</th>
<th>Second name:</th>
<th>Third name:</th>
</tr>
</thead>
</table>

Signature of chief AFR:  

-----------------------------------------------  

Date  
(dd/mm/yyyy)
NRD™ FORM 3

NRD ACCOUNT HOLDER AUTHORIZATION

TO: CDS INC. (Attention: NRD Administrator)
85 Richmond Street West, Toronto, Ontario M5H 2C9
AND TO: The Firm identified in section 1 below

Please select one box:

☐ Initial Filing by NRD™ account holder in the National Registration Database (“NRD”)
All sections must be completed. This form must be returned by the firm with NRD Form 1 Enrolment of Firm and, if required, NRD Form 2 Enrolment of Chief Authorized Firm Representative.

☐ Change to Previous Filing
Changes will be effective after the NRD administrator has completed its processing of all required information.

Describe change(s): ☐ Change to contact information
- complete sections 1, 2 & 4
The NRD administrator must receive this form within 5 business days of the change. The NRD account holder may return this form directly to the NRD administrator.

☐ Change to NRD account information
- complete sections 1, 3 & 4
Desired business date of change: ____________, 200__.
The firm must return this form with NRD Form 1. The NRD administrator must receive this form at least 10 business days before the desired business date of change.

General Instructions:

A. This form may be downloaded from the NRD website at www.nrd.ca.
B. Complete the information requested in this form in type or legible print. The NRD account information completed in section 3 below must match the information completed in section 3 of NRD Form 1. Authorized signatories of the NRD account holder must sign the form manually.
C. Return this completed form, together with a blank cheque for the NRD account named in section 3 below, marked on the front with “VOID” and deliver by prepaid mail, personal delivery or fax to the NRD administrator at the address above, or by fax to 1-866-729-8011, or to such other address or fax number as may be provided on the NRD website.
Section 1 Firm Information

Full legal name of firm: ________
Firm NRD number (only required if a change to previous filing): ________

Section 2 Contact Information for NRD account

Name of NRD account holder: ________
Business address (street name and number): ________
Municipality (city, town, etc.): ________
Province/territory/state: ________
Postal code: ________
Main Phone Number: (______) ________ ________
Fax number: (______) ________ ________
Last name of NRD account holder’s contact person: ________
First name of NRD account holder’s contact person: ________
Direct phone number: (______) ________ ________
Extension if applicable: ________
E-mail address: ________

Section 3 NRD Account Information for Electronic Pre-authorized Debit

Name of NRD account holder’s financial institution*: ________
Branch transit number: ________
NRD account number: ________

*The financial institution selected must be a member of the Canadian Payments Association.

Section 4 Authorization and Agreement of NRD Account Holder

4.1 The NRD account holder hereby authorizes and directs to the NRD administrator to enrol the NRD account stated in section 3 in NRD as contemplated in Multilateral Instrument 31-102 National Registration Database, Ontario Securities Commission Rule 31-509 (Commodity Futures Act) National Registration Database, Companion Policy 31-102CP, the NRD Filer Manual referenced in such Companion Policy and other applicable provincial and territorial laws.
4.2 The NRD account holder authorizes the payment of fees and charges from time to time on behalf of the firm stated in section 1 by electronic business pre-authorized debit (“PAD”) in NRD from the NRD account to one or more of the following payees, their successors or assigns, as such list of payees may be amended from time to time in NRD (collectively the “Payees”):

- British Columbia Securities Commission
- Alberta Securities Commission
- Saskatchewan Financial Services Commission
- The Manitoba Securities Commission
- Ontario Securities Commission
- New Brunswick Securities Administration Branch
- Prince Edward Island Securities Registry
- Nova Scotia Securities Commission
- Securities Commission of Newfoundland and Labrador
- Registrar of Securities, Northwest Territories
- Nunavut Securities Registry
- Registrar of Securities, Yukon, Community Services
- Investment Dealers Association (applicable branch for each jurisdiction)
- CDS INC.

4.3 The NRD account holder authorizes the Payees to draw from time to time PADs on the NRD account at the financial institution completed in section 3 (the “Financial Institution”) and the NRD account holder authorizes the Financial Institution to honour and pay such PADs. The agreements in this NRD Form 3 are provided for the benefit of the Payees, their financial institutions and the Financial Institution and are provided in consideration of the Financial Institution agreeing to process debits against the NRD account in accordance with the rules of the Canadian Payments Association affecting the payment services provided in NRD (the “Rules”). The NRD account holder agrees that any direction provided on its behalf in the manner set out in this NRD Form 3, to draw a PAD, and any PAD drawn in accordance with this NRD Form 3, shall be binding on it as if signed by or drawn by the NRD account holder.

4.4 In order to revoke or cancel the continuing authorization provided in this NRD Form 3, the NRD account holder shall provide written notice of revocation or cancellation to the NRD administrator by personal delivery or fax to the NRD administrator as set out on page 1, and to the firm. Any revocation or cancellation does not terminate or otherwise affect any other obligation or agreement between the NRD account holder, the firm and/or the Payees.

4.5 The NRD account holder agrees that the Financial Institution is not required to verify that any PAD has been drawn in accordance with this NRD Form 3, including the amount, frequency and fulfillment of any purpose of any PAD.

4.6 The NRD account holder agrees that delivery of this NRD Form 3 to the NRD administrator constitutes delivery by it to the Financial Institution. The NRD account holder agrees that the NRD administrator may deliver this NRD Form 3 to any Payees’ financial institution and agrees to the disclosure of any information, which may be contained in this NRD Form 3 to such financial institution.
4.7 The NRD account holder agrees to waive the pre-notification requirements of the Rules and to abide by any modification to the pre-notification requirements as provided in NRD at or prior to the time that a PAD is authorized.

4.8 The NRD account holder acknowledges that PAD payments in NRD are variable, annual and/or sporadic, and there is no maximum amount of payment. In addition, PAD payments may be top-ups or adjustments. The NRD account holder further acknowledges that PAD payments in NRD from the NRD account are authorized by any Authorized Firm Representative, including the chief Authorized Firm Representative appointed to act on behalf of the firm (collectively “AFR”), all of whom have access to the NRD account and information pertaining to the NRD account for this purpose. The NRD account holder agrees that an AFR’s user ID, NRD password and NRD submission provide valid authorization for the Payee or its agent to debit the NRD account for the amount(s) indicated in the NRD submission. The NRD account holder acknowledges that it will not have independent access to NRD other than through an AFR and that the NRD administrator is not required to provide the NRD account holder with access to NRD or any information pertaining to any AFR.

4.9 The NRD account holder may dispute a PAD by providing a signed declaration to the Financial Institution under the following conditions:

(i) the PAD was not drawn in accordance with this NRD Form 3;
(ii) this NRD Form 3 was revoked or cancelled; or
(iii) any pre-notification required and not waived was not received by it or by any AFR.

The NRD account holder acknowledges that, in order to obtain reimbursement from the Financial Institution for the amount of a disputed PAD, the NRD account holder must sign a declaration to the effect that either (i), (ii) or (iii) above took place and present it to the Financial Institution up to and including but not later than ten (10) business days after the date on which the disputed PAD was posted to the NRD account. The NRD account holder acknowledges that, after this ten (10) business day period, the NRD account holder shall resolve any dispute regarding a PAD solely with the Payee, and that the Financial Institution shall have no liability to the NRD account holder respecting any such PAD.

4.10 The NRD account holder certifies that all information provided with respect to the NRD account is accurate and the NRD account holder agrees to deliver an amended NRD Form 3 to the NRD administrator within five (5) business days of a change to the contact information for the NRD account and at least ten (10) business days prior to the desired business date of a change to the NRD account information.

4.11 Except where caused solely by the negligent actions of the NRD administrator, the NRD account holder agrees to indemnify and hold the NRD administrator harmless from and against and reimburse the NRD administrator for all losses, costs, fees, damages, expenses, liabilities, claims, suits and demands whatsoever that it may suffer, incur or be under or that may be made or brought against the NRD administrator, by whomsoever made or brought, by reason of or in any way arising out of the action in drawing, issuing, instructing, paying, disputing and/or reimbursing of any PAD on the NRD account issued in accordance with instructions by AFRs on behalf of the NRD account holder, including without limitation, any interest claims, claims resulting from stop payments and declarations filed by the NRD account holder or any other person.
4.12 The NRD account holder warrants and guarantees that it has the authority to electronically agree to commit to this NRD Form 3 by secure electronic signature and that its secure electronic signature conforms with the requirements of the Rules.

4.13 The NRD account holder agrees to comply with the Rules, or any other rules or regulations which may affect the services described herein, as may be introduced in the future or are currently in effect and to execute any further documents reasonably required by the NRD administrator or prescribed from time to time by the Canadian Payments Association in respect of the services described herein.

4.14 The NRD account holder agrees to pay other NRD fees and charges established by the NRD administrator from time to time, including those for failed payments or payments that were not honoured and interest on unpaid fees and charges at the rate of 1% per month (12% per annum) on behalf of the firm.

4.15 It is the express wish of the parties that this NRD Form 3 and any related documents be drawn up and executed in English. Les parties conviennent que la présente NRD Form 3 et tous les documents s’y rattachant soient rédigés et signés en anglais.

4.16 The NRD account holder agrees to the foregoing terms and conditions, all of which shall enure to the benefit of and be binding upon the NRD account holder and its successors and assigns. The NRD account holder agrees that an executed copy of this form delivered to the NRD administrator by fax shall have the same effect as an originally executed copy delivered to the NRD administrator. The NRD account holder warrants and agrees that it has caused this form to be signed by its duly authorized signatories on its behalf.

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<th>Name of NRD account holder:</th>
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<tr>
<th>Signature of authorized signatory</th>
<th>Print name:</th>
<th>Date: (dd/mm/yyyy)</th>
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FORM 33-109F4 – REGISTRATION INFORMATION FOR AN INDIVIDUAL

SUBMISSION TO NRD

Enter the following information using the online version of this submission at the NRD web site (www.nrd.ca). If the NRD filer is relying on the temporary hardship exemption in MI 31-102 this form is required to be delivered to the regulator in paper format.

INSTRUCTIONS FOR FILING IN PAPER FORMAT

1. This form is to be used by every individual seeking registration from a securities regulatory authority or a self-regulatory organization or who is a non-registered individual with a registered firm or a firm seeking registration.

2. This form is also to be used by any sole proprietor submitting an application for registration as a dealer, broker, adviser or underwriter to a securities regulatory authority.

3. Failure to answer all applicable questions may cause delays in the processing of the application form.

4. This form must be legible.

5. To complete the application, individuals should seek advice from an authorized officer of the sponsoring firm or from a legal adviser.

6. The number of originally-signed copies of the form to be filed with the self-regulatory organization and/or securities regulatory authority or similar authority varies from province to province. If unsure of the procedure, please consult the Registration Department of the self-regulatory organization to which you are applying or the applicable securities regulatory authority, or similar authority.

Item 1 – Name

1. Legal name

   Last name  First name  Second name (if applicable)  Third name (if applicable)

2. Other names

Are you currently, or have you previously been, known by a name other than the name provided above? Yes  No

If “Yes”, complete Schedule “A”.

Item 2 - Residential address

Current address

Provide all residential addresses, including any foreign residential addresses, for the past 10 years.

Current residential address: _____________________________________________________________

                     (number, street, city, province, territory or state, country, postal code)

Telephone number: ( ) _______________ Resided at this address since: _______________

(YYYY/MM)

If you have resided at this address for less than 10 years, complete Schedule “B”.

NRD™ Filer Manual
Version 1.2, March 2003
- 216 -
### Item 3 – Personal information

#### Personal description

<table>
<thead>
<tr>
<th>Date of birth:</th>
<th>Place of birth: (city, province, territory or state, country)</th>
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<tr>
<td>YYYY/MM/DD</td>
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<tr>
<th>Gender:</th>
<th>Colour of eyes:</th>
<th>Colour of hair:</th>
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<tbody>
<tr>
<td>Female</td>
<td></td>
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<tr>
<td>Male</td>
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<th>Height: imperial units:</th>
<th>OR</th>
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### Item 4 – Citizenship

#### Citizenship information

What is your citizenship?

- Canadian
- Other, specify: ____________________________

If you are a citizen of a country other than Canada, complete the following for that other citizenship. You are only required to provide the following information for one citizenship.

<table>
<thead>
<tr>
<th>Passport number:</th>
<th>Country of citizenship:</th>
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<tr>
<th>Date of issue: (YYYY/MM/DD)</th>
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<tr>
<td>YYYY/MM/DD</td>
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<table>
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<tr>
<th>Place of issue: (city, province, territory or state, country)</th>
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</thead>
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### Item 5 - Registration jurisdictions

#### Jurisdictions

Indicate, by checking the appropriate box, each province or territory to which you are submitting this form:

- Alberta
- British Columbia
- Manitoba
- New Brunswick
- Newfoundland and Labrador
- Northwest Territories
- Nova Scotia
- Nunavut
- Ontario
- Prince Edward Island
- Québec
- Saskatchewan
- Yukon Territory

### Item 6 - Individual categories

#### Categories
Indicate, by checking the appropriate box in Schedule “C”, each registration category for which you are applying. If you are a non-registered individual and you are not applying for registration, indicate each category that describes your position with your sponsoring firm.
### FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

#### Item 7 - Address and agent for service

1. **Address for service**
   
   You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered individual. A post office box is not an acceptable address for service. Complete Schedule “D” for each additional address for service you are providing.

   **Address for service:**
   
   (number, street, city, province or territory, postal code)

   **Telephone number:** (     )  
   
   **Fax number:** (     )

   **E-mail address:**

2. **Agent for service**

   If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of any agent named below.

   **Name of agent for service:**

   **Contact person:**

   **Last name**  **First name**

#### Item 8 – Proficiency

1. **Course or examination information**

   Complete Schedule “E” to indicate each course and examination that you have successfully completed or for which you have received an exemption.

   If you are not required under securities legislation or the rules of a self-regulatory organization to satisfy any course or examination requirements you are not required to complete this item.

2. **Student numbers**

   If you have a student number with one of the following institutions, provide it below:

   **Canadian Securities Institute (CSI):**

   **Investment Funds Institute of Canada (IFIC):**

   **Institute of Canadian Bankers (ICB):**

   **Association for Investment Management and Research (AIMR):**

   **Canadian Association of Insurance and Financial Advisors (CAIFA):**

3. **Exemption refusal**

   Has any securities regulatory authority or self-regulatory organization refused to grant you an exemption from a course, examination or experience requirement? .............................................................. …………………………...   **Yes**   **No**

   If “Yes”, complete Schedule “F”.
**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 9 – Location of employment**

<table>
<thead>
<tr>
<th>Location of employment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide the following information for the location of the sponsoring firm at which you will be working. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.</td>
</tr>
<tr>
<td>NRD number: ________________</td>
</tr>
<tr>
<td>Business address: ____________________________ (number, street, city, province, territory or state, country, postal code)</td>
</tr>
<tr>
<td>Telephone number: (     ) ____________________ Fax number: (     ) ____________________</td>
</tr>
<tr>
<td>☐ Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following:</td>
</tr>
<tr>
<td>Mailing address: ____________________________ (number, street, city, province, territory or state, country, postal code)</td>
</tr>
</tbody>
</table>

**Item 10 - Current employment**

<table>
<thead>
<tr>
<th>Employment information</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Schedule “G”, provide the information requested for your current business and employment activities, including those with your sponsoring firm.</td>
</tr>
<tr>
<td>☐ Check here if you are not required under securities legislation to provide this information.</td>
</tr>
</tbody>
</table>

**Item 11 - Previous employment**

<table>
<thead>
<tr>
<th>Employment information</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Schedule “H”, provide the information requested for your previous business and employment activities for the 10-year period before the date of this application. Include any periods of self-employment or unemployment during this period. Do not include summer employment while you were a full-time student.</td>
</tr>
<tr>
<td>☐ Check here if you are not required under securities legislation to provide this information.</td>
</tr>
<tr>
<td>☐ Check here if the information required by this section has been provided in Item 10.</td>
</tr>
</tbody>
</table>

**Item 12 - Resignations and terminations**

<table>
<thead>
<tr>
<th>Resignation and termination information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you ever resigned or been terminated following allegations, made by a client, sponsoring firm, self-regulatory organization, securities regulatory authority or any other regulatory authority that you:</td>
</tr>
<tr>
<td>a) violated investment related statutes, regulations, rules or industry standards of conduct? ..................... ☐ Yes ☐ No</td>
</tr>
<tr>
<td>b) failed to supervise in connection with investment related statutes, regulations, rules or industry standards of conduct? ................................................................. ☐ Yes ☐ No</td>
</tr>
<tr>
<td>c) committed fraud or the wrongful taking of property? ................................................................. ☐ Yes ☐ No</td>
</tr>
<tr>
<td>If “Yes”, to any of the above questions, complete Schedule “I”.</td>
</tr>
</tbody>
</table>
**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

**Item 13 – Regulatory disclosure**

1. Securities regulatory authorities

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>Other than a registration that has been recorded on NRD under the NRD number you are using to make this submission, are you now, or have you ever been, registered or licensed to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 1(a).

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>b)</td>
<td>Are you now, or have you ever been, a partner, director, officer, or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of any firm which has been registered or licensed, or is now registered or licensed, to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 1(b).

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>c)</td>
<td>Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a license to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? .................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

“Yes”, complete Schedule “J”, section 1(c).

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>d)</td>
<td>Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been denied the benefit of any exemption from registration provided by securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ..................................................................................................................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 1(d).

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>e)</td>
<td>Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a cease trade order, a cease distribution order, a suspension or termination order, any disciplinary proceedings or any order resulting from disciplinary proceedings pursuant to securities legislation or legislation governing exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ..................................................................................................................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 1(e).

2. Self-regulatory organizations

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a member or participating organization of any stock exchange or other self-regulatory organization in any province, territory, state or country? ..................................................................................................................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 2(a).

<table>
<thead>
<tr>
<th>Item</th>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>b)</td>
<td>Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused membership or entry as a participating organization in any stock exchange or other self-regulatory organization in any province, territory, state or country? ..................................................................................................................</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “J”, section 2(b).
**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension, expulsion or termination order, or been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings conducted by any stock exchange or other self-regulatory organization in any province, territory, state or country? ................................................................. Yes ☐ No ☐

If “Yes”, complete Schedule “J”, section 2(c).

### 3. Non-securities regulation

a) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been registered or licensed under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ........................................ Yes ☐ No ☐

If “Yes”, complete Schedule “J”, section 3(a).

b) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been refused registration or a licence under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country? ................................. Yes ☐ No ☐

If “Yes”, complete Schedule “J”, section 3(b).

c) Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been subject to a suspension or termination order, or disciplinary proceedings or any order resulting from disciplinary proceedings conducted under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or exchange contracts (including commodity futures contracts and commodity futures options) in any province, territory, state or country?  ........................................ Yes ☐ No ☐

If “Yes”, complete Schedule “J”, section 3(c).

### Item 14 - Criminal disclosure

**Criminal, provincial and territorial offences**

With respect to questions (b) and (d) below, if you or your firm have pleaded guilty or been found guilty of an offence, that offence must be reported even if an absolute or conditional discharge has been granted with respect to the offence. You are not required to disclose any offence for which a pardon has been granted under the *Criminal Records Act* (Canada) unless the pardon has been revoked. You are not required to disclose speeding or parking violations.

a) Is there currently an outstanding charge against you alleging an offence that was committed in any province, territory, state, or country? ................................................................. Yes ☐ No ☐

If “Yes”, complete Schedule “K”, section (a).

b) Have you, since attaining the age of 18, ever been convicted of, pleaded guilty to or no contest to an offence that was committed in any province, territory, state, or country? ...................................................... Yes ☐ No ☐

If “Yes”, complete Schedule “K”, section (b).

c) Have charges been laid, alleging an offence that was committed in any province, territory, state, or country against any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) in which you are or were at the time of that event a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities? ...................................................... Yes ☐ No ☐

If “Yes”, complete Schedule “K”, section (c).
**FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL**

| d) | Has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been convicted of, pleaded guilty to or no contest to an offence that was committed in any province, territory, state, or country? ............................................................................................................................................................................... Yes □ No □  |

If “Yes”, complete Schedule “K”, section (d).
## FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

### Item 15 - Civil disclosure

**Current and past civil proceedings**

<table>
<thead>
<tr>
<th>Current and past civil proceedings</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a)</strong> Have you, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, been a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is, or was, alleged?  ......................................................................................................... □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “L”, section (a).

<table>
<thead>
<tr>
<th>Current and past civil proceedings</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>b)</strong> Other than what you disclosed in Item 15(a), were you, at the time the events that led to the civil proceeding occurred, a partner, director or officer or a holder of securities carrying more than 10 percent of the votes of all outstanding voting securities of a firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)) that is or was a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation, or similar conduct is or was alleged? ....... □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “L”, section (b).

### Item 16 – Financial disclosure

#### 1. Bankruptcy

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a)</strong> had a petition in bankruptcy issued against you or the firm or made a voluntary assignment in bankruptcy? ................................................................. □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>b)</strong> made a proposal under any legislation relating to bankruptcy or insolvency? ............................................................. □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>c)</strong> been subject to proceedings under any legislation relating to the winding up, dissolution or companies’ creditors arrangement? ............................................................. □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>d)</strong> been subject to or instituted any proceedings, arrangement or compromise with creditors (including having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, either privately, or through court process, or by order of a regulator, to hold your assets)? .......................................................... □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

If “Yes” to any of the above questions, complete Schedule “M”, section 1.

#### 2. Debt Obligations

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you ever failed to meet a financial obligation of $500 or more as it came due, or has any firm (other than your sponsoring firm or a firm that is or was registered in a Canadian jurisdiction and identified in response to Item 13(1)(b)), when you were a partner, director, officer or holder of voting securities carrying more than 10 percent of the votes carried by all outstanding voting securities of that firm, failed to meet a financial obligation as it came due? ............ □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “M”, section 2.

#### 3. Surety bond or fidelity bond

<table>
<thead>
<tr>
<th>Financial disclosure</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you ever applied for a surety or fidelity bond and been refused? ................................................................. □ Yes □ No</td>
<td></td>
</tr>
</tbody>
</table>

If “Yes”, complete Schedule “M”, section 3.
FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

4. Garnishments, unsatisfied judgments or directions to pay

Are there currently, or have there been, outstanding against you any of the following:

a) garnishments,
b) unsatisfied judgments, or
c) directions to pay;

issued by a federal, provincial, territorial or state authority? .............................................................

Yes ☐ No ☐

If “Yes”, complete Schedule “M”, section 4.

Item 17 - Related securities firms

Related securities firms and holdings

Are you a partner, director, or officer of a firm (other than your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options) or are you a holder of 10 percent or more of the voting securities of any firm (including your sponsoring firm) whose principal business is trading in or advising on securities or exchange contracts (including commodity futures contracts and commodity futures options)? .............................................................

Yes ☐ No ☐

If “Yes”, complete Schedule “N”.

Agent for Service

By submitting this form you certify that in each jurisdiction in which you have appointed an agent for service you have properly executed the appointment of agent for service required by the regulator or the securities legislation of that jurisdiction.

Submission to Jurisdiction

By submitting this application you irrevocably and unconditionally submit to the non-exclusive jurisdiction of the judicial, quasi-judicial and administrative tribunals of each jurisdiction to which you have submitted this application and any administrative proceeding in that jurisdiction, in any action, investigation or administrative, criminal, quasi-criminal, penal or other proceeding (each, a “Proceeding”) arising out of or relating to or concerning your activities as a registrant or an officer, partner or director of a registrant under the securities legislation of the jurisdiction, and irrevocably waive any right to raise as a defence in any Proceeding any alleged lack of jurisdiction to bring that Proceeding.

Notice of collection and use of personal information

The personal information required under this form is collected on behalf of and used by the securities regulatory authorities set out below for purposes of the administration and enforcement of certain provisions of the securities legislation in British Columbia, Alberta, Saskatchewan, Manitoba, Ontario, Québec, Nova Scotia, New Brunswick, Prince Edward Island, Newfoundland and Labrador, Northwest Territories, Yukon Territory, and Nunavut.

By submitting this application you consent to the collection by the securities regulatory authority to which this application is being submitted of the personal information contained in the application, police records, records from other government or non-governmental regulatory authorities or self-regulatory organizations, credit records and employment records about you as may be necessary for the securities regulatory authority to complete its review of your application or continued fitness for registration in accordance with the legal authority of the securities regulatory authority for the duration of the period which you remain registered or approved by the securities regulatory authority. The sources the securities regulatory authority may contact include government and private bodies or agencies, individuals, corporations and other organizations.
FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL

The principal purpose for which this collection of personal information is to be used is to assess your suitability for registration and to assess your continued fitness for registration in accordance with the applicable securities legislation.

If you have any questions about the collection and use of this information, you may contact the securities regulatory authority in any jurisdiction in which the required information is filed, at the address or telephone number set out in Schedule “O”. In Québec, questions may also be addressed to the Commission d’accès à l’information du Québec (1-888-528-7741, web site: www.cai.gouv.qc.ca).

WARNING: It is an offence to submit information that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

Certification

The following certification is to be used when submitting this form in NRD format:

☑ I am making this submission as agent for the individual to whom this submission relates. By checking this box I certify that all statements of fact in this submission were provided to me by the individual.

Both of the following certifications are to be used when submitting this form in paper format:

I, the undersigned, certify that I have read and that I understand the questions in this form and the Warning set out above. I also certify that all statements of fact provided in this application are true.

Signature of applicant or non-registered individual  Date

I, the undersigned, certify on behalf of the sponsoring firm that the individual will be engaged by the sponsoring firm as a registered individual or a non-registered individual. I certify that I have, or a branch manager or another officer or partner has, discussed the questions set out in this form with the individual and I am satisfied that the individual fully understands the questions.

Signature of authorized officer or partner  Date

Firm name
### SCHEDULE "A"

**Name**

<table>
<thead>
<tr>
<th>Item</th>
<th>1</th>
</tr>
</thead>
</table>

#### Other names

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name</th>
<th>Third name</th>
</tr>
</thead>
<tbody>
<tr>
<td>(if applicable)</td>
<td>(if applicable)</td>
<td>(if applicable)</td>
<td>(if applicable)</td>
</tr>
</tbody>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name?  
From: ____________________ To: ____________________  
(YYYY/MM)  (YYYY/MM)

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name</th>
<th>Third name</th>
</tr>
</thead>
<tbody>
<tr>
<td>(if applicable)</td>
<td>(if applicable)</td>
<td>(if applicable)</td>
<td>(if applicable)</td>
</tr>
</tbody>
</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name?  
From: ____________________ To: ____________________  
(YYYY/MM)  (YYYY/MM)

<table>
<thead>
<tr>
<th>Last name</th>
<th>First name</th>
<th>Second name</th>
<th>Third name</th>
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<td>(if applicable)</td>
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<td>(if applicable)</td>
<td>(if applicable)</td>
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</table>

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name).

When did you use this name?  
From: ____________________ To: ____________________  
(YYYY/MM)  (YYYY/MM)
### Previous addresses

A postal code (or ZIP code) and a telephone number are not required for any previous address.

<table>
<thead>
<tr>
<th>Residential address</th>
<th>When did you live at this address? From:</th>
<th>To:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(number, street, city, province, territory or state, country)</td>
<td>(YYYY/MM)</td>
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<th>To:</th>
</tr>
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<td>(number, street, city, province, territory or state, country)</td>
<td>(YYYY/MM)</td>
<td>(YYYY/MM)</td>
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</table>
### SCHEDULE “C”

#### Individual categories

| Item | 6 |

#### Categories

Indicate, by checking the appropriate box, each category for which you are applying.

**Alberta**
- Salesperson
- Officer (Trading)
- Officer (Non-Trading)
- Partner (Trading)
- Partner (Non-Trading)
- Director
- Shareholder
- Branch Manager
- Officer (Advising)
- Officer (Non-Advising)
- Junior Officer (Advising)
- Partner (Advising)
- Partner (Non-Advising)

**British Columbia**
- Salesperson
- Officer (Trading)
- Officer (Non-Trading)
- Partner (Trading)
- Partner (Non-Trading)
- Director (Trading)
- Director (Non-Trading)
- Compliance Officer
- Shareholder
- Branch Manager
- Officer (Advising)
- Officer (Non-Advising)
- Partner (Advising)
- Partner (Non-Advising)
- Director (Advising)
- Director (Non-Advising)
- Advising Employee

**Manitoba**
- Salesperson
- Officer (Trading)
- Officer (Non-Trading)
- Partner (Trading)
- Partner (Non-Trading)
- Director (Trading)
- Director (Non-Trading)
- Branch Manager
- Advising Officer
- Advising Partner
- Advising Director
- Non-Advising Officer
- Non-Advising Partner
- Non-Advising Director
- Advising Employee
- Associate Advising Officer
- Associate Advising Partner
- Associate Advising Director
- Associate Advising Employee
- Non-trading Officer
- Non-trading Partner
- Futures Contract Portfolio Manager
- Associate Futures Contracts Portfolio Manager
- Floor Trader
- Floor Broker
- Local Adviser

**New Brunswick**
- Salesperson
- Officer (Trading)
- Officer (Non-Trading)
- Partner (Trading)
- Partner (Non-Trading)
- Director
- Shareholder
- Compliance Officer
- Officer (Advising)
- Officer (Non-Advising)
- Junior Officer (Advising)
- Partner (Advising)
- Partner (Non-Advising)
### SCHEDULE “C”
**Individual categories**

**Item □ 6**

#### Categories

| Newfoundland and Labrador |  |
|----------------------------|  |
| Salesperson                | Officer (Advising) |
| Officer (Trading)         | Officer (Non-Advising) |
| Officer (Non-Trading)     | Director            |
| Director                  | Shareholder         |
| Shareholder               | Partner (Advising)  |
| Partner (Trading)         | Partner (Non-Advising) |
| Partner (Non-Trading)     | Branch Manager      |
| Branch Manager            |  |

| Northwest Territories     |  |
| Salesperson               | Shareholder         |
| Officer (Trading)         | Branch Manager      |
| Officer (Non-Trading)     | Representative (Advising) |
| Director                  | Officer (Advising)  |
| Partner (Trading)         | Officer (Non-Advising) |
| Partner (Non-Trading)     | Partner (Advising)  |
| Sole Proprietor           | Partner (Non-Advising) |

| Nova Scotia               |  |
| Salesperson               | Officer (Advising)  |
| Officer (Trading)         | Officer (Non-Advising) |
| Officer (Non-Trading)     | Associate Partner   |
| Sole Proprietor (Trading) | Partner (Advising)  |
| Director                  | Officer (Non-Advising) |
| Partner (Trading)         | Sole Proprietor (Advising) |
| Partner (Non-Trading)     |  |

| Nunavut                   |  |
| Salesperson               | Shareholder         |
| Officer (Trading)         | Branch Manager      |
| Officer (Non-Trading)     | Representative (Advising) |
| Director                  | Officer (Advising)  |
| Partner (Trading)         | Officer (Non-Advising) |
| Partner (Non-Trading)     | Partner (Advising)  |
| Sole Proprietor           | Partner (Non-Advising) |

| Ontario                   |  |
| Floor Trader              | Associate Advising Representative (Securities Act category only) |
| Salesperson               | Officer (Advising) |
| Officer (Trading)         | Officer (Non-Advising) |
| Officer (Non-Trading)     | Associate Officer (Securities Act category only) |
| Partner (Trading)         | Partner (Advising) |
| Partner (Non-Trading)     | Partner (Non-Advising) |
| Sole Proprietor (Trading) | Associate Partner (Securities Act category only) |
| Director                  | Sole Proprietor (Advising) |
| Advising Representative   | Shareholder         |
### SCHEDULE “C”
#### Individual categories

**Item 6**

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<tr>
<td>Director</td>
<td>Director (Non-Industry)</td>
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<td>Director</td>
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## SCHEDULE “C”
### Individual categories

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### Categories

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<tr>
<td>- Director (Non-Industry)</td>
</tr>
<tr>
<td>- Officer (Trading)</td>
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<tr>
<td>- Officer (Non-Trading)</td>
</tr>
<tr>
<td>- Industry Investor</td>
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<td>- Non-Industry Investor</td>
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<tr>
<td>- Chief Compliance Officer</td>
</tr>
<tr>
<td>- Ultimate Designated Person</td>
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<tr>
<td>- Alternate Designated Person</td>
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<tr>
<td>- Designated Registered Options Principal</td>
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<td>- Alternate Registered Options Principal</td>
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<td>- Designated Registered Futures Options Principal</td>
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<td>- Sales Manager</td>
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<tr>
<td>- Branch Manager</td>
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<tr>
<td>- Co-Branch Manager</td>
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<tr>
<td>- Assistant Branch Manager</td>
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<tr>
<td>- Futures Contract Options Supervisor</td>
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<tr>
<td>- Investment Representative (Mutual Funds)</td>
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<tr>
<td>- Investment Representative (Retail)</td>
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<tr>
<td>- Investment Representative (Non-Retail)</td>
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<tr>
<td>- Investment Representative Options (Retail)</td>
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<td>- Investment Representative Options (Non-Retail)</td>
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<td>- Investment Futures Contract Representative Options (Retail)</td>
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</table>

| - Registered Futures Contract Representative Options (Retail) | - |
| - Registered Futures Contract Representative Options (Non-Retail) | - |
| - Portfolio Manager - Securities | - |
| - Portfolio Manager - Security Options | - |
| - Portfolio Manager - Commodity Futures Options | - |
### SCHEDULE “D”

#### Address and Agent for Service

**Item 1. Address for service**

You must have one address for service in each province or territory in which you are now, or are applying to become, a registered individual or non-registered individual. A post office box is not an acceptable address for service.

**Address for service:**

(number, street, city, province or territory, postal code)

**Telephone number:** (   )____________

**Fax number:** (   )____________

**E-mail address:** __________________________

**2. Agent for service**

If you have appointed an agent for service, provide the following information for the agent. The address for service provided above must be the address of the agent named below.

**Name of agent for service:** __________________________

*(If applicable)*

**Contact person:** __________________________

Last name  First name
### SCHEDULE “E”
#### Proficiency

<table>
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<tr>
<th>COURSE OR EXAMINATION</th>
<th>DATE COMPLETED</th>
<th>DATE EXEMPTED AND BY WHICH JURISDICTION OR REGULATOR (YYYY/MM/DD)</th>
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<td>90-day Training Program</td>
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<td>ACE Trader Exam</td>
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<tr>
<td>Agricultural Markets – Risk Management Course (ARM)</td>
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<tr>
<td>Branch Compliance Officers Course</td>
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<td>Branch Manager’s Examination Course (formerly the Canadian Branch Managers Qualifying Examination)</td>
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<td>Canadian Commodity Futures Examination</td>
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<td>Canadian Commodity Supervisors Examination</td>
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<tr>
<td>Canadian Funds Course (Quebec only)</td>
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<td>Canadian Futures Exam (Part 1)</td>
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<td>CATS Examination-Written</td>
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<td>Certified Financial Planners Program</td>
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<td>Conduct and Practices Handbook Course</td>
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**SCHEDULE “F”**  
Proficiency

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<td><strong>Exemption refusal</strong></td>
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<td>Complete the following for each exemption that was refused.</td>
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<td>Which securities regulatory authority or self-regulatory organization refused to grant the exemption?</td>
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<td>State the name of the course, examination or experience requirement:</td>
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<td>State the reason given for not being granted the exemption:</td>
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<td>Which securities regulatory authority or self-regulatory organization refused to grant the exemption?</td>
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<td>State the name of the course, examination or experience requirement:</td>
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<tr>
<td></td>
<td>State the reason given for not being granted the exemption:</td>
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## Item 10

### Employment information

Provide the information requested for each of your current business and employment activities, including those with your sponsoring firm.

- Unemployed
- Full-time student
- Employed or self-employed

From: ______________

(YYYY/MM/DD)

You are only required to fill in the following if you have indicated above that you are employed or self-employed.

Name of business or employer:

_____________________________________________________________________

Address of business or employer:

_____________________________________________________________________

(number, street, city, province, territory or state, country)

Name and title of immediate supervisor: _________________________________

Describe the type of business or employment and your duties. If you are seeking a type of registration for which specified experience is required, provide details of that experience below (for example, level of responsibility, value of accounts under direct supervision, and research experience):

_____________________________________________________________________

Indicate the number of hours per week you will be devoting to this business or employment: _____________

If the business or employment described above is with the sponsoring firm and if you are working less than 30 hours per week for the firm, explain why you are working less than 30 hours per week for the firm:
### SCHEDULE “G”
#### Current employment

If the business or employment described above is not with the sponsoring firm, disclose any potential for confusion by clients and any potential for conflicts of interest arising from your proposed activities as a registrant and the business or employment described above (include whether the business is listed on an exchange):

### SCHEDULE “H”
#### Previous employment

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</table>

**Employment information**

Provide the information requested for your previous business and employment activities for the 10-year period before the date of this application. Include any periods of self-employment or unemployment during this period. Do not include summer employment while you were a full-time student.

In addition, provide the information requested in respect of all of your securities or exchange contracts (including commodity futures contracts and commodity futures options) business and employment activities during and prior to the ten-year period.

- Unemployed
- Full-time student
- Employed or self-employed

From: 
(YYYY/MM/DD)

To: 
(YYYY/MM/DD)

You are only required to fill in the following if you have indicated above that you are, or were, employed or self-employed.

Name of business or employer:

Address of business or employer:

(number, street, city, province, territory or state, country)

Name and title of immediate supervisor:

Describe the type of business or employment and your duties. If you are seeking a type of registration for which specified experience is required, provide details of that experience below (for example, level of responsibility, value of accounts under direct supervision, and research experience):
## SCHEDULE “I”
Resignations and terminations

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<tr>
<th>Item</th>
<th>12</th>
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</table>

**Resignation and Termination information**

For each resignation or termination indicate below, (1) the name of the firm from which you resigned or were terminated, (2) whether you resigned or were terminated, (3) the date you resigned or were terminated, and (4) the circumstances relating to your resignation or termination (including whether the allegations were made by a client, sponsoring firm, self-regulatory organization or regulatory authority).
1. Securities regulatory authorities

a) For each registration or licence, indicate below (1) the securities regulatory authority with which you are, or were, registered or licensed, (2) the type or category of registration or licence, and (3) the dates between which you held the registration or licence.

b) For each registration or licence, indicate below (1) the name of the firm, (2) the securities regulatory authority with which the firm is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which you held the registration or licence.

c) For each registration or licence refused, indicate below (1) the party that was refused the registration or licence, (2) the securities regulatory authority that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

d) For each exemption from registration denied, indicate below (1) the party that was denied the exemption, (2) the securities regulatory authority that denied the exemption, (3) the date the exemption was denied, and (4) any other information that you think is relevant or that is requested by the regulator.
### SCHEDULE “J”
**Regulatory disclosure**

| e) | For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the securities regulatory authority that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other information that you think is relevant or that is requested by the regulator. |

| 2. Self-regulatory organizations |
| a) | For each membership or participation, indicate below (1) the party that is, or was, a member or participating organization, (2) the self-regulatory organization with which the party is, or was, a member or participating organization, (3) the type or category of membership or participation, and (4) the dates between which the party was a member or participating organization. |

| b) | For each membership or participation refused, indicate below (1) the party that was refused membership or participation, (2) the self-regulatory organization that refused the membership or participation, (3) the type or category of membership or participation refused, (4) the date of the refusal, and (5) the reasons for the refusal. |

| c) | For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the self-regulatory organization that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other information that you think is relevant or that is requested by the regulator. |

| 3. Non-securities regulation |
| a) | For each registration or licence, indicate below (1) the party is, or was, registered or licensed, (2) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the dates between which the party held the registration or licence. |
### SCHEDULE "J"
#### Regulatory disclosure

<table>
<thead>
<tr>
<th>b)</th>
<th>For each registration or licence refused, indicate below (1) the party that was refused registration or licensing, (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.</th>
</tr>
</thead>
<tbody>
<tr>
<td>c)</td>
<td>For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken, (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was, conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), and (6) any other information that you think is relevant or that is requested by the regulator.</td>
</tr>
</tbody>
</table>
## SCHEDULE "K"

### Criminal disclosure

<table>
<thead>
<tr>
<th>Item 14</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criminal, provincial and territorial offences</strong></td>
<td></td>
</tr>
<tr>
<td>a) For each charge, indicate below (1) the charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location.</td>
<td></td>
</tr>
<tr>
<td>b) For each conviction, indicate below (1) the offence, (2) the date of the conviction, and (3) the disposition (state any penalty or fine and the date any fine was paid).</td>
<td></td>
</tr>
<tr>
<td>c) For each charge, indicate below (1) the name of the firm, (2) the charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location.</td>
<td></td>
</tr>
<tr>
<td>d) For each conviction, indicate below (1) the name of the firm, (2) the offence, (3) the date of the conviction, and (4) the disposition (state any penalty or fine and the date any fine was paid).</td>
<td></td>
</tr>
</tbody>
</table>
## SCHEDULE “L”
Civil disclosure

<table>
<thead>
<tr>
<th>Item</th>
<th>15</th>
</tr>
</thead>
</table>

### Current and past civil proceedings

a) For each civil proceeding, indicate below (1) the party that is, or was, a defendant or respondent, (2) each plaintiff in the proceeding, (3) whether the proceeding is pending, on appeal or final, (4) the jurisdiction in which the action is being, or was, pursued, and (5) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)

b) For each civil proceeding, indicate below (1) the firm that was a defendant or respondent in the proceeding, (2) your relationship to the firm, (3) each plaintiff in the proceeding, (4) whether the proceeding is pending, on appeal or final, (5) the jurisdiction in which the action is being, or was, pursued, and (6) a summary of any disposition or settlement. (Disclosure must include those actions settled without admission of liability.)
**SCHEDULE “M” Financial Disclosure**

<table>
<thead>
<tr>
<th>Item 16</th>
</tr>
</thead>
</table>

1. **Bankruptcy**

For each event, indicate below (1) the party about whom this disclosure is being made, (2) any amounts currently owing, (3) the creditors, (4) the status of the matter, (5) a summary of any disposition or settlement, and (6) any other information that you think is relevant or that is requested by the regulator.

2. **Solvency**

For each event, indicate below (1) the party that failed to meet its financial obligation, (2) the amount that was owing at the time the party failed to meet its financial obligation, (3) the party to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any other information that you think is relevant or that is requested by the regulator.

3. **Surety Bond or Fidelity Bond**

For each bond refused, indicate below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.

4. **Garnishments, Unsatisfied Judgments or Directions to Pay**

For each garnishment, unsatisfied judgement or direction to pay, indicate below (1) the amount that was owing at the time the garnishment, judgement or direction to pay was rendered, (2) the party to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) any amounts currently owing, and (5) any other information that you think is relevant or that is requested by the regulator.
## SCHEDULE "N"
### Related securities firms

**Item 17**

**Related Securities Firms and Holdings**

Indicate below (a) the name of the firm and (b) your relationship to the firm.

<table>
<thead>
<tr>
<th>Item</th>
<th>Related Securities Firms and Holdings</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>Firm name: ____________</td>
</tr>
<tr>
<td>b)</td>
<td>Relationship to the firm and period of relationship:</td>
</tr>
</tbody>
</table>
<pre><code>| ☐ Partner From: ___________________ To: ___________________ (if applicable) |
| ☐ Director From: ___________________ To: ___________________ (if applicable) |
| ☐ Officer From: ___________________ To: ___________________ (if applicable) |
| ☐ Holder of voting securities over 10 percent From: ___________________ To: ___________________ (if applicable) |
</code></pre>

If you are a holder of 10 percent or more of the voting securities of the firm, complete (c), (d), (e), (f), (g) and (h).

c) State the number, value, class and percentage of securities or the amount of partnership interest you own or propose to acquire upon approval. If acquiring shares upon approval, state source (for example, treasury shares, or if upon transfer, state name of transferor).

d) State the value of subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm (if applicable):

e) If another party has provided you with funds to invest in the firm, identify the party and state the relationship between you and that party:
<table>
<thead>
<tr>
<th>SCHEDULE “N”</th>
<th>Related securities firms</th>
</tr>
</thead>
<tbody>
<tr>
<td>f) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm? ................................................................. Yes  No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, identify the party and state the relationship between you and that party:</td>
<td></td>
</tr>
<tr>
<td>g) Have you either directly or indirectly given up any rights with respect to such securities or partnership interest, or do you, on approval of this application, intend to give up any such rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any institution or person)? ........ Yes  No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, identify the party, state the relationship between you and that party and describe the rights that have been or will be given up:</td>
<td></td>
</tr>
<tr>
<td>h) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or other notes held by you? ........................................................................................................... Yes  No</td>
<td></td>
</tr>
<tr>
<td>If “Yes”, complete (i), (j) and (k).</td>
<td></td>
</tr>
<tr>
<td>i) Name of beneficial owner:</td>
<td></td>
</tr>
<tr>
<td>Last name</td>
<td>First name</td>
</tr>
<tr>
<td>(if applicable)</td>
<td>(if applicable)</td>
</tr>
<tr>
<td>j) Residential address:</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(number, street, city, province, territory or state, country, postal code)</td>
</tr>
<tr>
<td>k) Occupation:</td>
<td></td>
</tr>
</tbody>
</table>
## SCHEDULE "O"
### Notice and collection and use of personal information

<table>
<thead>
<tr>
<th>Province/Region</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Alberta</strong></td>
<td>Alberta Securities Commission, 4th Floor, 300 B 5th Avenue S.W. Calgary, AB T2P 3C4 Attention: Information Officer Telephone: (403) 297-6454</td>
</tr>
<tr>
<td><strong>British Columbia</strong></td>
<td>British Columbia Securities Commission P.O. Box 10142, Pacific Centre 701 West Georgia Street Vancouver, BC V7Y 1L2 Attention: Freedom of Information Officer Telephone: (604) 899-6500 or (800) 373-6393 (in BC)</td>
</tr>
<tr>
<td><strong>Manitoba</strong></td>
<td>The Manitoba Securities Commission 1130-405 Broadway Winnipeg, MB R3C 3L6 Attention: Director – Legal Telephone: (204) 945-4508</td>
</tr>
<tr>
<td><strong>New Brunswick</strong></td>
<td>Securities Administration Branch PO Box 5001 606, 133 Prince William Street Saint John, NB E2L 4Y9 Attention: Deputy Administrator, Capital Markets Telephone: (506) 658-3021</td>
</tr>
<tr>
<td><strong>Newfoundland and Labrador</strong></td>
<td>Securities Commission of Newfoundland and Labrador P.O. Box 8700, 2nd Floor, West Block Confederation Building St. John's, NF A1B 4J6 Attention: Director of Securities Tel: (709) 729-4189</td>
</tr>
<tr>
<td><strong>Nova Scotia</strong></td>
<td>nova Scotia Securities Commission 2nd Floor, Joseph Howe Building 1690 Hollis Street P.O. Box 458 Halifax, NS B3J 3J9 Attention: FOI Officer Telephone: (902) 424-7768</td>
</tr>
<tr>
<td><strong>Northwest Territories</strong></td>
<td>Government of the Northwest Territories P.O. Box 1320 Yellowknife, NWT X1A 2L9 Attention: Deputy Registrar of Securities Telephone: (867) 920-8984</td>
</tr>
<tr>
<td><strong>Nunavut</strong></td>
<td>Legal Registries Division Department of Justice Government of Nunavut P.O. Box 1000 Station 570 Iqaluit, NU X0A 0H0 Attention: Deputy Registrar of Securities Telephone: (867) 975-6190</td>
</tr>
<tr>
<td><strong>Ontario</strong></td>
<td>Ontario Securities Commission Suite 1903, Box 55 20 Queen Street West Toronto, ON M5H 3S8 Attention: FOI Coordinator Telephone: (416) 593-8314</td>
</tr>
<tr>
<td><strong>Prince Edward Island</strong></td>
<td>Securities Registry Office of the Attorney General B Consumer, Corporate and Insurance Services Division P.O. Box 2000 Charlottetown, PE C1A 7N8 Attention: Deputy Registrar of Securities Telephone: (902) 368-4569</td>
</tr>
<tr>
<td>Province</td>
<td>Address</td>
</tr>
<tr>
<td>---------------</td>
<td>-------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Québec</td>
<td>Commission des valeurs mobilières du Québec</td>
</tr>
<tr>
<td></td>
<td>Stock Exchange Tower</td>
</tr>
<tr>
<td></td>
<td>P.O. Box 246, 22nd Floor</td>
</tr>
<tr>
<td></td>
<td>800 Victoria Square</td>
</tr>
<tr>
<td></td>
<td>Montréal, PQ  H4Z 1G3</td>
</tr>
<tr>
<td>Saskatchewan</td>
<td>Saskatchewan Securities Commission</td>
</tr>
<tr>
<td></td>
<td>800 B1920 Broad Street</td>
</tr>
<tr>
<td></td>
<td>Regina, SK  S4P 3V7</td>
</tr>
<tr>
<td>Yukon</td>
<td>Department of Community Services Yukon</td>
</tr>
<tr>
<td></td>
<td>P.O. Box 2703</td>
</tr>
<tr>
<td></td>
<td>Whitehorse, YU Y1A 2C6</td>
</tr>
</tbody>
</table>
NRD ENROLMENT AND USER FEES

Introduction

The NRD administrator will charge firms a fee to enroll in NRD and user fees for some NRD submissions. For the convenience of registrants and applicants for registration, the fees required by the NRD administrator are set out below. NRD enrolment and user fees will cover the cost of developing and operating NRD.

NRD fees are subject to goods and services tax or GST (CDS INC. GST No. # 892971631RT) and are in addition to the registration fees that are payable by registrants and applicants for registration to securities regulatory authorities and the Investment Dealers Association.

Enrolment fees

To enrol to use NRD, firms must pay a one-time enrolment fee by cheque to the NRD administrator. The cheque must be payable to “CDS INC.” and must accompany the NRD enrolment forms and any documents filed in support of enrolment (e.g., a void cheque, articles of incorporation). This enrolment package must be submitted to CDS INC. (Attention: NRD administrator) at 85 Richmond Street West, Toronto, ON M5H 2C9. The NRD enrolment forms are available in editable form at the website addresses www.nrd-info.ca and www.nrd.ca.

Firms that are registered with one or more securities regulatory authorities prior to February 3, 2003 will be required to pay an enrolment fee based on the total number of individuals registered with the firm in the NRD jurisdictions on February 3. When determining the total number of registered individuals with a firm, the firm should count each registered individual once irrespective of the number of jurisdictions in which the individual is registered. The enrolment fees are set out in the following schedule:

<table>
<thead>
<tr>
<th>Number of registered individuals</th>
<th>Firm enrolment fee</th>
<th>Firm enrolment fee (with 7% GST)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3000 or more</td>
<td>$7000.00</td>
<td>$7490.00</td>
</tr>
<tr>
<td>1000 to 2999</td>
<td>$6500.00</td>
<td>$6955.00</td>
</tr>
<tr>
<td>500 to 999</td>
<td>$5500.00</td>
<td>$5885.00</td>
</tr>
<tr>
<td>150 to 499</td>
<td>$4500.00</td>
<td>$4815.00</td>
</tr>
<tr>
<td>75 to 149</td>
<td>$3000.00</td>
<td>$3210.00</td>
</tr>
<tr>
<td>50 to 74</td>
<td>$2000.00</td>
<td>$2140.00</td>
</tr>
<tr>
<td>25 to 49</td>
<td>$1500.00</td>
<td>$1605.00</td>
</tr>
<tr>
<td>10 to 24</td>
<td>$250.00</td>
<td>$267.50</td>
</tr>
<tr>
<td>1 to 9</td>
<td>$100.00</td>
<td>$107.00</td>
</tr>
<tr>
<td>0</td>
<td>$750.00</td>
<td>$802.50</td>
</tr>
</tbody>
</table>

Firms that are not registered in an NRD jurisdiction when enrolling to use NRD will be charged a $500 enrolment fee, or $535 with GST. The fee is the same for all firms regardless of size.

NRD user fees

In addition to the initial enrolment fee, firms will be charged NRD user fees annually and with specified NRD submissions. These fees are paid through NRD by pre-authorized debit from the firm’s NRD account.

Annual NRD user fees

On December 31 of each year, each firm will be charged an annual NRD user fee for use of NRD for the following year.
A firm’s annual NRD user fee is calculated as follows:

- $75 for each registered and non-registered individual sponsored by the firm in a single NRD jurisdiction; and
- $50 for each additional NRD jurisdiction in which an individual is sponsored (to a maximum of five additional jurisdictions, for a total of $250).

**EXAMPLES:**

- If an individual is a registered individual in three NRD jurisdictions, the firm’s annual NRD user fee for that individual is $175, or $187.25 with GST.
- If an individual is a non-registered individual in 12 NRD jurisdictions, the firm’s annual NRD user fee for that individual is $325, or $347.75 with GST.

**May 30, 2003 collection of annual NRD user fees**

As December 31, 2002 has now passed, the annual NRD user fee for 2003 will be charged after business hours on May 30, 2003. This fee pull will cover the entire year’s fee. On May 1, NRD will generate a preliminary annual fee summary. The summary indicates how much will be drawn from a firm’s account on May 30 if the number of registered and non-registered individuals with the firm remains the same (see section C4 of Chapter 9 for instructions on retrieving the summary). In all other respects the payment of the annual NRD user fee will work on May 30 as it does on December 31. For example, a firm may exclude from the fee calculation individuals who are leaving a firm or are surrendering their registrations by using the Bulk Annual Fee Exclusion submission. For more information on the annual fee collection process, please refer to Chapter 9, section C4.

**NRD submission fees**

NRD submission fees are payable when making any one of the following submissions:

- **Initial Registration;**
- **Reactivation of Registration;** and
- **Registration in an Additional Jurisdiction.**

NRD submission fees are calculated as follows:

- $75 for a Form 33-109F4 submitted to one jurisdiction; and
- $50 for each additional jurisdiction to which the Form 33-109F4 is submitted (to a maximum of 5 additional jurisdictions for a total of $250).

**EXAMPLES:**

- The submission fee for an individual applying for registration in three jurisdictions is $175, or $187.25 with GST.
- The submission fee for an individual applying for registration in all 12 NRD jurisdictions is $325, or $347.75 with GST.